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ABSTRACT

The evaluation of administrative and supervisory personnel is receiving increasing attention by State legislatures, the public at large, and the education profession. At least nine States now mandate periodic, formal evaluations of administrative and supervisory personnel in their public schools. As a result of these State mandates and the public's concern for accountability in education, increasing numbers of school systems are developing and revising procedures and instruments to assess the administrative effectiveness of their staffs. This report, which includes many sample forms and instruments, examines the evaluation of administrative personnel from three aspects: the purpose and process of staff evaluation in both education and industry; the actions of State legislatures and education agencies; and the use of administrative evaluation systems and instruments in selected local school systems. (Author/WM)

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FOREWORD

The evaluation of administrative and supervisory personnel is receiving increasing attention by state legislatures, the public at large, and the education profession. At least nine states now mandate periodic, formal evaluations of administrative and supervisory personnel in their public schools. As a result of these state mandates and the public's concern for accountability in education, increasing numbers of school systems are developing and revising procedures and instruments to assess the administrative effectiveness of their staffs.

This *ERS Report* examines the evaluation of administrative personnel from three aspects: the purpose and process of staff evaluation in both education and industry; the actions of state legislatures and education agencies; and the use of administrative evaluation systems and instruments in selected local school systems.

ERS is grateful to the officials of the state education departments and local school systems for providing information and materials included in this *Report*.

Glen Robinson
Director of Research
Educational Research Service

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INTRODUCTION

Formal evaluation of school administrators is a recent development in the widespread movement toward educational accountability. Indicative of this development is the mandating of administrative evaluation in seven states since 1970. In addition, ERS surveys indicate that the percentage of large school districts (enrolling 25,000 or more) conducting formal evaluations of school administrators has increased from less than 40 percent in 1968 to more than 54 percent in 1971. Available evidence indicates that the percentage has continued to increase since 1971.

Traditionally, business and industry have led in the development and implementation of comprehensive management appraisal programs. Education, by contrast, has had relatively little experience with formal administrative evaluation--especially with the integration of evaluation and other organizational processes. Administrative evaluation in the past has been largely an isolated process, based on an individual supervisory style and consisting of a superior's assessment of the personal characteristics or performance of the administrator. Usually the assessment focused on such nebulous administrative qualities as "integrity" and "leadership abilities."

Recently, however, educators have incorporated the knowledge derived from research and from business experience in developing new evaluation programs for educational administrators. Many evaluation programs are now integrated with other organizational functions. Procedures such as evaluation-by-objectives, assessment by subordinates, and team

accountability have been introduced. Proponents of such innovative procedures in education are optimistic about the effects that evaluation can have upon both administrative and organizational performance. Others have doubts about the appropriateness of applying such procedures in the area of education.

Due to its potential impact on education, administrative evaluation is examined in this *ERS Report*. An analysis of the evaluation process and an overview of national evaluation practices are presented. The *Report* is based upon: (1) a search of relevant books and articles published since 1970, (2) a selective review of the research that has formed the experimental basis for current evaluation theories and practices, and (3) surveys of state-mandated and local school district evaluation programs.

A singular, uniform definition of evaluation is not advanced in this *Report*. Evaluation processes vary widely depending upon: (1) the focus of evaluation (in other words, the evaluative criteria selected due to their assumed relationship to administrative effectiveness); (2) the specific evaluation procedures and instruments utilized; and (3) the general function of administrative evaluation within the educational organization.

These three aspects of evaluation are analyzed in terms of research results, theory, and practice in the two sections titled "Purposes of Evaluation" and "The Evaluation Process." As the evaluation process has become integrated with other organizational processes, its function has broadened. In both theory and practice, the purpose of evaluation has changed from a means of

judgment to a medium for planning, job specification, communication, monitoring, coordination, and recognition.

Information related to the focus and procedures of evaluation also are noted in this *Report*. Criteria currently used in evaluation include administrative characteristics, administrative functions, and organizational results. In general, the administrator's relationship to the system--including communication, decision-making, and evaluation of staff--have become the focus of evaluation.

Research results presented in this *Report* suggest that changes in methods as well as focus of evaluation are needed. Halpin and Croft conclude that there is "strong and convincing evidence that many of the measures which have been used in education as purported indices of a school's 'effectiveness,' or of an administrator's 'effectiveness,' do not justify the blind confidence that many of us have placed in them [65:82]."* Regarding the rating of principals

by their superintendent, which has been the customary method of evaluation, Halpin and Croft state that "serious questions can be raised about both the relevance and dependability of such ratings [65:82]." Alternative evaluation methods that have been developed and implemented are included in "The Evaluation Process" section.

A major portion of this *Report* is devoted to surveys of administrative evaluation procedures in use at the local school district level and to examples of various evaluative forms and materials in use. Recent trends in administrative evaluation are noted in the two sections titled "State-Mandated Evaluation" and "Survey of Local School District Evaluation Procedures." Sample forms and materials from ten school districts are reproduced; these represent a variety of evaluation programs currently used by school districts. The sample materials are presented only as concrete illustrations of current practices, which may be studied and considered in relation to the available research, theory, and evaluative techniques presented in this *Report*. The inclusion of these examples does not imply endorsement or approval by ERS.

* References cited in the body of the text are noted by numbers within brackets. The number before the colon indicates the entry number within the bibliography beginning on page 118; the number following the colon indicates the page within the entry. If no colon appears, the citation refers to the entire entry. Multiple citations are separated by semicolons.

PURPOSES OF EVALUATION

The many purposes of administrative evaluation can be divided into two general categories: those serving primarily *as a means* and those serving primarily *as an end*. When evaluation functions *as an end*, it results in a specific culminating judgment regarding administrative performance. This judgment may be used as justification for merit salary increases, promotion, demotion, transfers, inservice training, self-development objectives, and similar personnel decisions; however, the evaluation process has fulfilled its function as soon as the judgment is reached. The focus is on the individual and his or her performance.

When evaluation serves *as a means*, it functions as an on-going communication, feedback, adjustment, and assistance process. Evaluation is an integral part of the total management system and is interrelated with decision-making, resource allocation, goal development, and other administrative functions. The focus is on improvement of the educational system.

In either case, the intended purposes of evaluation are of central importance in determining the design of an effective evaluation process and its subsumed procedures. Evaluation must be valid and reliable in fulfilling its functions if it is to be a productive process and not just a time-consuming exercise. Research has shown that some evaluation procedures actually can be harmful to performance and morale [16; 29; 120; 129; 130]. In one study it was found that open recognition given to individual employees by supervisors had a significant negative relationship with group morale [97].

According to another study, negative feedback can fail to motivate the typical employee and even cause him to perform less effectively [87:123]. Consequently, the evaluation process itself must be examined to determine whether or not it is performing its function.

The range, variety, and complexity of purposes for administrative evaluation are illustrated by the following selected examples:

- To help or prod supervisors to observe their subordinates more closely and to do a better coaching job;
- To motivate employees by providing feedback on how they are doing;
- To establish a research and reference base for personnel decisions;
- To determine the degree of information and skill possessed by the administrator in his role as educational leader;
- To determine the "degree to which his decisions are sound, timely, and effectively carried out";
- To determine to what extent his decisions are shared by those significantly affected by those decisions;
- To determine the extent to which superordinates, co-ordinates, and subordinates are kept informed at all times of all decisions on a need-to-know basis for effective operation at each level;
- To point up continuing education needs;

- To facilitate mutual understanding between superior and subordinate;
- To determine whether organization should transfer, demote, or dismiss personnel;
- To establish compensation that is partially based on performance;
- To enable managers to see the requirements of their jobs more clearly;
- To provide an official appraisal record of the principal's performance;
- To sensitize the director and other central office personnel to the problems and needs of the building principal;
- To offer suggestions and assistance to the principal for the improvement of the educational program in his school;
- To contribute to good morale by demonstrating just and equitable personnel practices;
- To facilitate communication and cooperation among school-based administrators and other members of the profession, students, and the community;
- To appraise the effectiveness or adequacy of human and material supports for principals and assistant principals;
- To establish objectives for school-based administrator improvement or for emphasis on indicated areas;
- To establish a procedure by which long-range goals of the school district can be translated into goals for effective performance for individual employees; and
- To motivate self-improvement.

[23:9; 33:1; 62:20; 93:61; 107:3-4; 114:17-18]

THE EVALUATION PROCESS

Administrative evaluation systems are based upon the assumptions that there are standards of administrative effectiveness, and that administrative performance can be measured in terms of these standards. Without these two prerequisites, administrative evaluation has no meaning. The design and implementation of an evaluation process also rests upon a third assumption--that the process will accomplish some stated objectives. The purposes of administrative evaluation are of great importance in determining the legitimacy of the evaluation process.

The assumptions just stated form the basis for the three basic components of evaluation: (1) development of standards of administrative effectiveness, (2) assessment of administrative effectiveness, and (3) accomplishment of the purposes of administrative evaluation. Each of these components is explored in the following sections.

Developing Standards of Administrative Effectiveness

Dean Speicher identifies three approaches in defining the administrative role or the standard of effectiveness:

1. "The Characteristics of Traits (Input) Approach," which defines administrative effectiveness in terms of personal attributes (knowledge, personality factors, appearance, etc.) considered desirable in the accomplishment of administrative or educational objectives.

2. "The Process-Behavior Approach," which defines administrative effectiveness in terms of specific functions (allocation of resources, supervision of staff, communication with parents and community, etc.) considered essential to the accomplishment of educational and administrative outcomes.
3. "The Administrative Outcomes (Output) Approach," which defines administrative effectiveness in terms of the relative accomplishment of educational or administrative objectives. The output model requires the development of objectives which incorporate measurable or observable criteria. [121:9]

Number 3 above assumes a direct relationship between performance of the administrative role and educational outcomes. The administrator's effectiveness is assessed by measures of student achievement, program development, cost savings, teacher performance, or whatever criteria indicate the accomplishment of objectives.

Valid procedures based on role definitions described in the first two approaches require identification of administrator characteristics or behaviors that *actually do* affect positive educational or organizational outcomes. Available research identifying desirable administrator characteristics/behaviors or relationships between administrator characteristics/behaviors and outcomes is reported in the following section.

Desirable administrative characteristics.--There is no clear distinction between administrative qualities and administrative behavior. Most "characteristics" that are referred to commonly

(integrity, sense of humor, dedication, stability, etc.) are actually descriptive terms derived from observations of behavior, and they might be phrased more appropriately in behavioral terms. Many evaluation systems continue to use such terms (which do carry some shared, although somewhat vague, behavioral meanings).

One study [127] dealing with such descriptive terms investigated opinions of educators (all principals, assistant principals, and school secretaries) and a sample of community representatives in 77 inner-city schools regarding desirable characteristics of principals. The 1,482 questionnaire responses (56 percent of the sample) were compiled using content analysis techniques and then ranked in order of frequency. The following rankings of administrative characteristics [127:20] resulted:

"If you were selecting a principal for your school, what five personal characteristics would you consider most important?"

- Total rank --
1. Good human relations
 2. Innovative
 3. Integrity
 4. Fair-minded
 5. Good-humored

"If you were selecting a principal for your school, what five professional characteristics would you consider most important?"

- Total rank --
1. Administrative and supervisory skill
 2. Relates well with parents and the community
 3. Dedication
 4. Personal character
 5. Innovative; skill in evaluation

Another study compared the qualities of principals in effective and ineffective schools [58]. It characterized the principals of the effective schools as being: effective in working with people, intuitive and empathetic with their associates, aggressive in regard to the needs of their schools, enthusiastic as principals, committed to education, adaptable, and capable of identifying their objectives and means of achieving them [58:2-3].

Necessary administrative behavior/functions.--

To be held accountable, an administrator must know clearly what his responsibilities are. A survey study conducted by Oregon State University [58:66-67] suggests that role identification is one of the major problems faced by school administrators.

One approach to role identification [9:108-108] defines the administrative function as comprised of four cyclical processes-- diagnosis, prescription, implementation, and evaluation. This approach assumes "that essential, demonstrative, and identifiable performance skills appropriate for school principals cluster about these four processes" [9:108].

"An incomplete set" of the performance objectives which "serve as an operational definition for each process" is reproduced here for two of the four processes:

Diagnostic Process

1. *Activate* at least two groups within his faculty, each to arrive at a statement of a school-wide instructional deficiency.
2. *Distinguish* between skill deficiencies and performance deficiencies for at least 25 percent of his faculty.
3. *Identify* and *describe* unique competencies for at least 25 percent of his faculty members.
4. *Distinguish* between those duties that must be performed by him and those duties that may be performed by others.
5. *Poll* a representative group of a defined school community to determine problems and attitudes concerning school issues.

Prescriptive Process

1. *Present* and *describe* at least two prescriptions (possible solutions) for a school instructional problem or deficiency.
2. *Activate* at least two groups within his faculty to reach change-oriented instructional decisions on the basis of an analysis of school-wide data.
3. *Construct* and *submit* to the superintendent at least two recommendations designed to increase professional growth among teachers.

4. *Design* an inservice program with "multiplier effects" for a group of at least 10 percent of his faculty.
5. *Distinguish* between those decisions that are and those that are not his direct responsibility in reference to both superior and subordinate personnel.
 - a. *Allow* teachers to make decisions about students for whom they are accountable--decisions that do not customarily transcend a classroom or learning center.
 - b. *Restrict* his decisions to those matters that transcend one or more instructional units within the attendance unit.
 - c. *Describe* the obligation of superiors to make decisions that transcend one or more attendance units within the district. [9:108-109]

A second approach to role identification stresses the "Middle Management" function performed by the school administrator [73:4]. According to this view, the principal's role is both that of school leader and follower of the district organization. All of his activities and interactions are derived from these two main functions. The success of the administrator's interactions both upward and downward will determine his effectiveness.

Another interpretation of the administrative role [103:2-9] lists improving instruction, directing-implementing-modifying policy, and communicating of procedures and objectives as the major functions of the school administrator.

Numerous attempts have been made to define the functions of the school administrator. A clear specification of administrative responsibilities is important not only in the process of evaluation, but also in the general management function. Most local school districts develop some type of job description that outlines administrative responsibilities. Engleman supports the utilization of all staff members in the identification of roles and responsibilities of all involved [50:19]. An instrument

designed to assist in this process of role identification was first piloted in the Anaheim (California) Union High School District beginning in October 1970 [86:3] and is currently being used with reported success in 25 of the district's 26 schools. The "Management Responsibility Guide" analyzes the administrative process, develops an organizational structure, and defines individual administrative responsibilities and relationships within the structure.

Aside from defining the general administrative functions, it is necessary to determine what specific activities and behaviors best perform these functions. Demonstrable relationships between specific behaviors and results should be the rational justification for standards of desirable behavior used in administrative evaluation.

Citing the research conducted in business organizations, Feltler ascribes support to "the proposition that there is a significant relationship between leader behavior and organizational productivity. Likert's research indicates that in organizations which are highly productive, leader behavior is a causal variable for both high productivity and patterns of organizational behavior which are consistent with the construct of an 'ideal' organization (participative-group organization) derived from modern organizational theory" [48:1].

Similar research in the field of education indicates a positive relationship between principal behaviors and school or teacher performance [36; 60]. Still other educational research has shown:

1. A significant correlation between leader behavior of principals and type of school organization [48; 72].
2. A positive linear relationship between teacher rankings of principals ("excellent," "good," "average," etc.) and scores given principals on the "Production" and "People" con-

tinuum of the Managerial Grid Scale [131].

3. A positive relationship between teacher ratings of principals and principal behaviors as described by teachers [131].
4. A relationship between teacher perceptions of supervisory behaviors and productivity of supervisory conferences [90].
5. A significant correlation between administrative style and teacher satisfaction [26].

These research results demonstrate the relationships that exist between administrative behaviors and educational or administrative outcomes. A number of similar administrative behaviors are identified as being desirable; these behaviors are discussed in terms of the research results pertaining to each.

Doll [36] studied 70 schools in an urban school district and identified four general types labelled: (1) Highly Academic-Oriented, (2) Average Academic-Oriented, (3) Partially Problem-Oriented, and (4) Highly Problem-Oriented. He found that schools of the same type were localized in certain geographic areas of the city. However, there were some deviant schools which were categorized differently from all adjacent schools. Doll examined the administrative leadership of one deviant type--the Partially Problem-Oriented school in the Highly Problem-Oriented areas--in order to identify reasons for greater school success.

Doll discovered that principals in the more successful schools (Partially Problem-Oriented) displayed the following behaviors:

1. Communicated openly with the staff and community
2. Supported teachers--assisted teachers even if this meant clashing with the central administration; relieved teachers of clerical and other non-teaching duties; acted

decisively in response to teachers' needs

3. Solicited information from his faculty and community before making decisions
4. Sometimes ignored the hierarchy and the formalities of the bureaucratic structure

In comparison, principals in the less successful schools (Highly Problem-Oriented) displayed these behaviors:

1. Acted on the basis of cues from the hierarchy of the school system
2. Gave superficial consideration to teachers' suggestions
3. Moved hesitantly in making decisions, especially if a decision could place him in conflict with the hierarchy
4. Was rigid in making decisions and taking action

The behaviors of the "successful" principals in the Doll study parallel the behaviors of principals who were high in Executive Professional Leadership (EPL) in a study conducted by Gross and Herriott [60]. They found that the higher the EPL of the elementary school principal, the higher the morale and the better the performance of teachers.

Feltler studied the relationship between principal behaviors and organizational processes of schools [48]. The "Profile of a School--Form T," a teacher questionnaire, was used to measure and behaviorally describe the school's organizational environment along five discrete dimensions. Principal ratings on those five dimensions create a management continuum ranging from System 1, authoritative group, to System 4, participative group (currently viewed in management theory as being the more effective organization [48:1]).

The dependent variable, administrative behavior, was analyzed by means of Stogdill's "Leader Behavior Description Questionnaire--Form XII" (LBDQ-XII), a questionnaire designed to measure teacher perceptions of administrative

behavior. The LBDQ-XII scores from schools falling in the upper and lower quartiles on the management continuum were compared. Results indicated that "four of the twelve LBDQ-XII dimensions were significantly higher for schools which approached the participative-group end of the management continuum than for schools which approached the authoritative end of the continuum" [48:9]. Those were: (1) tolerance of freedom--allowing subordinates to exercise initiative, make decisions, and take action; (2) consideration--regarding the comfort, well-being, status, and contributions of subordinates; (3) integration--maintaining closely knit organization and resolving inter-member conflicts; and (4) tolerance of uncertainty--ability to accept indefinite situations [48:6-7, 9].

Feitler proposes that if: (1) System 4 organizations are desirable in education, and (2) there is a causal relationship between interpersonal behavior and organizational structure, then (3) administrators should be skilled in interpersonal leadership. A test of this proposition has involved administrators from 12 schools in a two-year organizational development program through which they received training in small group leadership and interpersonal skills. After one year, 11 of the 12 schools showed substantial movement in the direction of System 4 organization, with the schools as a group scoring significantly higher on the "Profile of a School--Form T." [48:11-12].

A study conducted by Utz [131] explored the relationship between teacher ratings of principals and teacher responses to the Managerial Grid Scale, an instrument derived from *The Managerial Grid* [11] and used to describe administrative behavior. The following results were reported:

1. As teacher ratings became more favorable, both "Production" and "People" scores increased.
2. No significant differences were found between the principals'

scores on the "Production" and "People" dimensions except for principals ranked "Below Average" or "Poor." These principals scored significantly lower on the "People" dimension than on the "Production" dimension.

3. Principals ranked "Excellent" were attributed these behaviors:

- thoroughly orientates new teachers
- plans extensively, with solicitation of input from teachers
- school problems are handled in a non-authoritative manner and explored in depth; and
- teacher evaluation is open and focuses on means of improving behavior rather than on criticism of behavior.

4. The perceived behaviors of principals ranked "Below Average" or "Poor" included:

- provides new teachers with minimal orientation;
- places teachers in a clearly subordinate role;
- does not solicit teacher opinion in making educational decisions;
- presents teachers with only global, but not specific, plans; and
- does not evaluate teachers, or does not inform teachers of evaluation

The relationship between management style and teacher job satisfaction was investigated by Chung [26]. Questionnaires were administered to the teaching staffs of 21 public schools, with 473 (95 percent) of the teachers responding. The questionnaire contained multiple items related to job satisfaction and six dimensions of management style. A factor analysis of the returns indicated that teacher-centered management style (as perceived by teachers) includes these leadership

behaviors:

1. High teacher participation in decision-making;
2. Imposes few administrative routines upon teachers;
3. Supports the professional growth of teachers;
4. Develops strong personal relationships;
5. Is accessible to teachers; and
6. Does not engage in tight supervision of teachers.

High teacher-centered management style, in turn, was found to be significantly related to high job satisfaction among teachers.

Blumberg and Amidon [12] conducted a study pertaining to effective supervisory behaviors as viewed by teachers. Flanders' categories of interaction (designed for teaching) were adapted to classify supervisory behaviors in terms of: (1) "direct" behavior--giving information, opinion, directions, and criticism; and (2) "indirect" behavior--asking questions, giving encouragement or praise, accepting feelings and ideas. Blumberg and Amidon questioned 166 experienced teachers regarding actual and ideal supervisory conferences with principals, supervisory behaviors, and apparent consequences of supervision. The conclusions reached by these two researchers were:

1. Teachers tend to regard supervisory conferences as more productive when supervisors display predominantly "indirect" behavior;
2. In general, learning about one's professional self occurs when supervisors display a combination of high "indirect" and "direct" behavior;
3. Freedom of communication is curtailed only when supervisory behavior is highly directive; and
4. Teachers are most dissatisfied with supervisors who avoid or discourage "indirect" behaviors.

Assessing Administrative Effectiveness

The means of evaluating an administrator are necessarily dependent upon the particular personal characteristics, behaviors, and outcomes that are defined, expected, or seen as desirable for his role. Some school systems (Adams County School District No. 12, Denver, Colorado, for example) do not have standard evaluation procedures or instruments, but choose appropriate means of evaluation after job expectancies are defined.

Evaluating administrative characteristics/behaviors.--If the administrative role is defined in terms of specific personal attributes or behaviors, evidence must be collected that measures the degree to which these attributes and behaviors are demonstrated. Evaluative data can be obtained through observations or visitations by supervisors (individual or team), self-evaluations, and surveys of staff, community, or student opinions. In specific reference to principal evaluation, George Redfern, in an unpublished, mimeographed statement (AASA, 1970), warns that inputs from each source should pertain only to areas in which the source has direct contact with the principal--teachers should evaluate the principal on the basis of teacher-principal interaction, pupils on the basis of pupil-principal interaction, and so on.

Many school districts utilize such data collection techniques in the evaluation of administrative characteristics/behaviors. One such school district--San Bernardino (California) City Unified District--collects evaluative data through a combination of techniques, including supervisor observations; opinionnaires distributed to students, parents, and teachers; and self-evaluation [25]. The staff survey form, which evaluates principal assistance to teachers, emphasizes the supportive function of the principal. In Kalamazoo (Michigan) Public Schools, half of the principal's evaluation score is derived from self-evaluations and questionnaires

completed by teachers, resource specialists, other building administrators, and district administrators [27].

In collecting evaluative data pertaining to administrative characteristics/behaviors, consideration should also be given to factors that affect the administrator's ability or motivation to perform. Research evidence cited by Grusky [61:10-13] suggests that the productivity and behavior of staff members affect the quality and quantity of administrative downward interaction. A decrease in staff performance leads to less administrative communication with staff members and less consideration or offering of support. Research by Gross and Herriott [60] shows that administrative behaviors also are affected by the supervisory style of superiors. They found that the greater the Executive Professional Leadership (EPL) score of the higher administrator, the greater the possibility that the principal will have a high EPL score.

Specific techniques for the evaluation of administrative characteristics/behaviors.--There are at least five general types of techniques used in recording evaluative data on administrative attributes and behaviors in the field of education. These techniques include:

1. *Graphic rating scales*--the administrator is evaluated according to how frequently a quality or behavior is observed, or by how accurately a statement describes the administrator. The scale is usually a continuum of numbers (such as one through five) or terms of frequency (such as never, sometimes, usually). Instruments of this type include:
 - The Washington Principal Evaluation Inventory [5]
 - The Managerial Grid Scale adapted for education use by Utz [131]

- The Leader Behavior Description Questionnaire--Form XII developed by Stogdill [124]
- The Executive Professional Leadership Questionnaire [60].

The graphic rating scale technique has been criticized [99:38] because of the evaluator tendencies to either rate a person favorably on all items ("halo effect") or unfavorably ("horn effect").

2. *Essay appraisals*--the evaluator writes a narrative description of the administrator, discussing strengths, weaknesses, potential, and other observations. Evaluations of this type are generally not comparable in terms of content or depth.
3. *Field review*--when reliable and/or comparable evaluations are desired, essay and graphic ratings by several evaluators can be combined through a systematic review process. Ratings are reviewed, areas of inter-rater disagreement are identified, and group consensus is sought. This procedure is designed to control for personal biases.
4. *Forced-choice rating*--evaluators must choose from two or more statements the one that best or least describes the administrator.
5. *Critical incident appraisal*--administrative behavior is recorded either at critical periods or when significant incidents, positive or negative, occur. This procedure requires frequent, critical observations and recordings of administrative behavior or decisions.

Evaluating administrative outcomes.--If the administrative role is defined in terms of

expected outcomes, the appropriate evaluative data, sources of data, and measurement procedures will depend upon the particular organizational or educational outcomes desired. Such outcomes can pertain to teacher performance, community acceptance or understanding of new programs, teacher morale, student achievement, and many more possible indicators of administrative effectiveness. Evaluative data might include test results, records, self-evaluations, assessments of teacher performance, or opinionnaire results. Specific data collection instruments include Halpin's "Profile of a School" [48], designed to measure organizational structure, and Stogdill's "Job Expectancy Questionnaire" [70], designed to measure job satisfaction. Other important factors to measure and take into consideration are the availability of support services, student and teacher input, and areas of principal power or control.

The practice of defining the administrative role and evaluating the administrator in terms of results has sometimes been referred to as a "system approach" to accountability. This term is applicable since the administrator's total relationship to the educational system is the focus of evaluation. Both the administrator's contribution to school objectives and dependence upon resources, assistance, and input factors are assessed.

According to a 1973 ERS survey (reported later in the "Surveys of Local School District Evaluation Procedures" section of this Report), 138 school districts or 29.2 percent of the 472 responding districts reported that they evaluated administrators in terms of results or outcomes during the 1972-73 school year. Additional school districts that use this evaluation approach were identified by ERS during the investigation that preceded this Report.

A variety of data is collected by school districts evaluating administrators in terms of outcomes. Examples of evaluative data collected, together with examples of districts using each type, are provided in the following list:

Student achievement--Kalamazoo Public Schools (Michigan) and Fremont Union High School District (Sunnyvale, California)

Self-evaluation--Akron Public Schools (Ohio) and Madison Public Schools (Wisconsin)

Staff performance--Fairfax County Schools (Fairfax, Virginia) and San Diego Public Schools (California)

Supportive services provided administrator--School District of University City (Missouri) and Providence Public Schools (Rhode Island)

Input factors--Fremont Union High School District (Sunnyvale, California).

Accomplishing Purposes of Administrative Evaluation

Administrative evaluation is designed to: (1) serve as an end, resulting in a judgment regarding administrator attributes, behaviors, or accomplishments; and/or (2) function as a means, as an integral part of the management system, promoting administrative and organizational effectiveness.

The judgmental purposes of evaluation require only: (1) the establishment of criteria defining administrative effectiveness; and (2) the implementation of valid, reliable means of measuring those criteria and any intervening variables. If these two steps are completed successfully, the evaluation process has fulfilled its judgmental purposes.

The evaluation process can serve other, non-judgmental purposes. Increasingly, evaluation is being viewed by educators as a mechanism for administrative and organizational coordination or development [23:5; 52:3; 75:15; 76:14]. The earlier distinctions between organi-

zational planning-monitoring and administrator evaluation are being de-emphasized according to the American Association of School Administrators [76:52]. As stated in the section "Purposes of Evaluation," assessment procedures are used to stimulate self-development, encourage individual and organizational planning, sensitize the district administration to needs of the school building administrator, facilitate communication between administrators and their staffs, integrate organizational and administrative objectives, clarify job expectancies, and in general encourage the development of the administrator and school organization.

In order to accomplish these broader purposes, assessment procedures themselves must promote an organizational structure and interaction of parts that is conducive to inter-level communication, cooperative planning, clarification of responsibilities, and related functions. The Lincoln (Nebraska) Public School System's guidelines to administrative evaluation state that there should be "stimuli in the appraisal instrument to encourage self-improvement, positive change in attitude, and an expanded view of educational needs, including need for possible change at the local, state, and national levels" [1:1].

Several research studies explore the relationships between evaluative procedures and administrative or organizational effectiveness. A comprehensive study of the effects of evaluation was conducted by Meyer, Kay, and French at the General Electric Company [87]. One group of employees was allowed to formulate goals and participate in other ways in the evaluation process; the other group was not allowed to participate. The study found that:

1. Employees involved in the low participation group reacted more defensively and achieved fewer goals than those in the high participation group.
2. The high participation group was associated with better mutual understanding between manager and subordinate, greater acceptance of goals,

better attitude toward appraisal, and a feeling of self-realization on the job.

3. Criticism had a negative effect on good achievement.
4. Appreciable improvement was realized when specific goals and deadlines were established and agreed upon.
5. Coaching should be a day-to-day activity.
6. Participation by the employee in the goal-setting fosters favorable results. [23:8]

Other research results substantiate these findings regarding the relationship between evaluation procedures and job satisfaction and performance. Previously-cited research by Utz [131] and Blumberg and Amidon [12] reinforces the concept that appraisal should encourage improvement or professional growth, provide recognition for good performance, and provide an outlet for feelings and frustrations. Iannone, from a study of elementary and secondary school principals, reports that 83 percent of events that resulted in positive job feelings were related to evidence of achievement; 74 percent were related to receiving recognition [71].

The research results of Andersen [3] and Mosher and Purpel [90] indicate that evaluation, if it is to result in improved performance, should be "supportive" and concerned with the professional growth of the administrator. Both refer to a "client-centered counseling approach" through which: (1) the supervisor is a facilitator of self-evaluation, (2) relationships between the administrator's activities and results are explored, (3) consideration is given to obstacles, and (4) the administrator is encouraged to develop revised ways of thinking.

Research by Chung [26] supports the Meyer, Kay, and French conclusion that evaluation should be structured as a day-to-day, accessible, coaching relationship between administrator and supervisor. In school systems such as the

Highland (Indiana) Public School's and the School District of University City (Missouri), an appraisal team is given the responsibility of coaching and assisting the administrator in developing professionally.

From the results of their research, Chung [26] and Feitler [48; 49] both conclude that the evaluation process should allow the administrator freedom to initiate and conduct activities for the accomplishment of objectives. The supervisor-administrator relationship should not be restrictive.

An evaluator or evaluation team should be trained and skilled in interpersonal interaction if the evaluation process is to provide support and stimulate self-evaluation in a non-directive manner. The effects of leadership and interpersonal training, reported by Feitler, have already been mentioned. In the Akron (Ohio) Public Schools and in the Shawnee Mission (Kansas) Public Schools the evaluator is provided guidance and assistance by a reviewer.

Finally, the evaluation process should promote an organizational structure that allows for staff participation and meaningful communication within the organization. Research by Bridges [15], Browne [17], and Chung [26] resulted in associations between job satisfaction and participation in decision-making. The evaluation process can facilitate communication and staff participation especially in the identification of needs, establishment of objectives, and assessment of organizational (as well as individual) performance. Studies conducted by Doll [36], Gross and Herriott [60], and Likert [78; 79] demonstrated that administrators, and their organizations, tend to be more successful when information is solicited from staff members prior to decision-making. Likert indicates that decisions are better under participative management because they are based on more accurate, adequate information. He also states that shared decision-making increases the motivation to achieve.

Two of the most comprehensive approaches to administrative evaluation, and its integration

with personnel development and system management, are "management-by-objectives" (MBO) and the "faculty team." MBO is a relatively common practice in business that recently has been applied both in the literature and in real situations in education. The faculty team incorporates the MBO philosophy but goes farther by involving the total faculty in the MBO processes.

Management-by-objectives.--MBO is both an approach to management and an evaluation technique. As such, MBO and its many variations should be explored in depth before an attempt is made to implement the system. It is stated repeatedly in the literature on MBO [23; 76] that the entire system, with all of its structural prerequisites and interrelated processes, should be implemented if MBO is to realize its full potential.

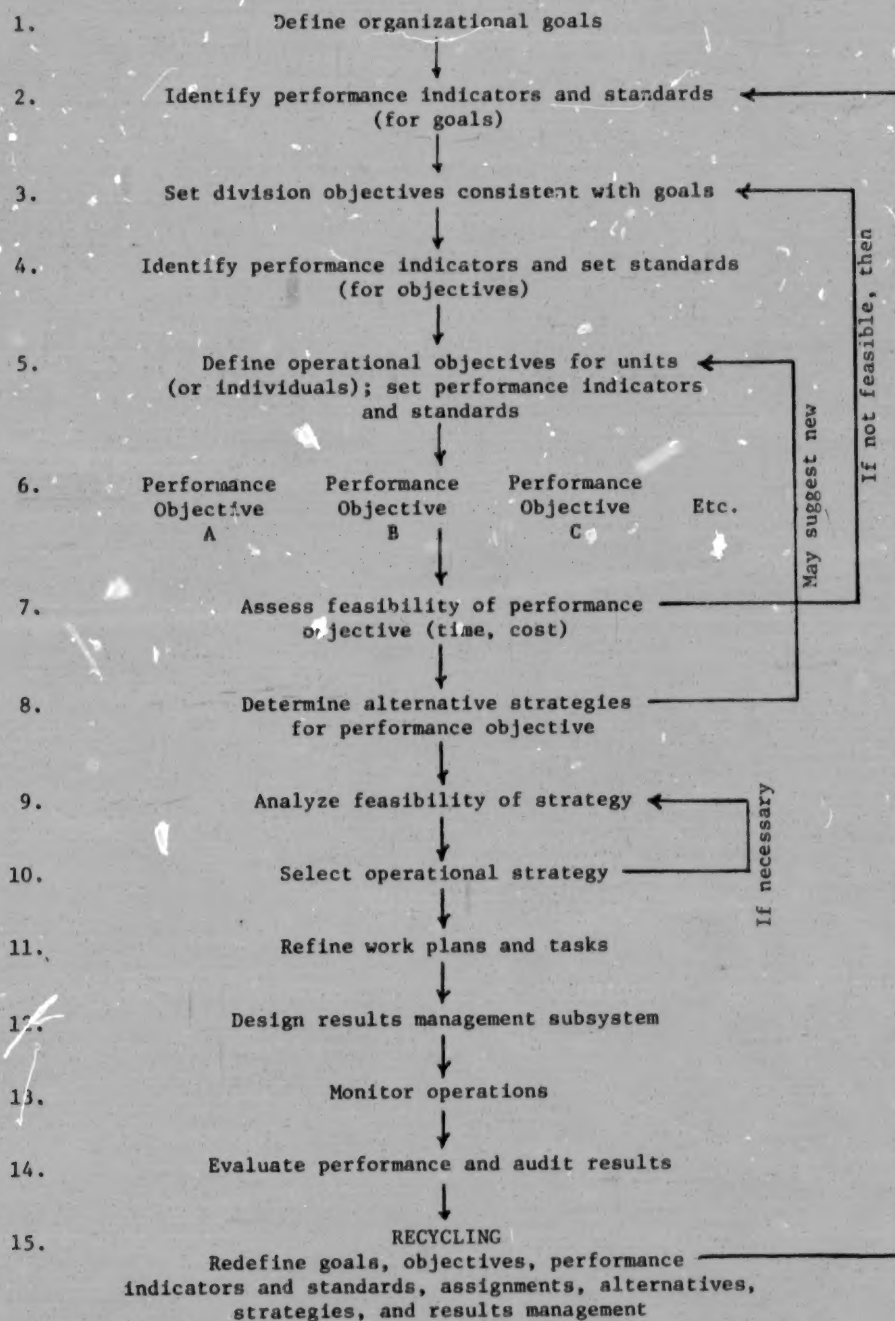
A brief definition of MBO was developed by Odiorne:

The system of management by objectives can be described as a process whereby the superior and subordinate jointly identify goals, define individual major areas of responsibility in terms of results expected of him, and use these measures as guides for operating the unit and assessing the contribution of each of its members [76:4].

Morrissey defined MBO as a management approach that determines: (1) what must be done, (2) how it must be done (the program steps or plan of action required to accomplish it), (3) when it must be done, (4) how much it will cost, (5) what constitutes satisfactory performance, (6) how much progress is being achieved, and (7) when and how to take corrective action [76:5]. Steps one through four represent a planning function, while steps five through seven represent a controlling function.

The MBO process is described in Figure 1 (see page 15). Graphic presentation of the MBO process is often circular to emphasize the cyclical nature of the process.

FIGURE 1
The MBO Model



SOURCE: Knezevich, Stephen J. *Management by Objectives and Results--A Guidebook for Today's School Executive*. Arlington, Virginia: American Association of School Administrators, 1973. p. 27.

MBO, as a total system approach, is applied to the various functions of administration including planning, supervising, budgeting, and evaluating. No one dimension can exist in isolation from the total system under MBO, as they are all integrated and inter-dependent. As a result, administrative evaluation involves aspects of planning, budgeting, and other management processes.

The MBO approach to evaluation is based upon several assumptions about supervision including:

1. the focus of evaluation should be on continuous growth and improvement;
2. priorities must be set so that the most important responsibilities will be evaluated;
3. lack of defined priorities results in a dissipation of resources;
4. the administrator and supervisor may have different perceptions of administrative responsibilities unless they are specified; and
5. dialogue between the administrator and supervisor concerning agreed-upon priorities are productive both to the efficiency of the organization and to the psychological well-being of the individual. [52:3-4]

The administrative evaluation process logically begins with a job description which describes results to be achieved rather than activities or functions to be performed. Based upon the job descriptions and district goals, specific performance objectives are established. The objectives take into account the base-line measurement of the current situation, the resources available and necessary, the administrator's power to influence results, the obstacles to be overcome, time necessary to complete the objective, and the means of evaluating progress toward the objective. Often the objectives and conditions are specified in what has been referred to as a "management contract" [76:14].

MBO has been criticized [17; 76:15] because of the possible tendency to: (1) emphasize those

goals that are easiest to accomplish or to appraise rather than those most important to the educational process, and (2) ignore other areas not covered under the MBO contract. In order to counteract these tendencies, school systems using MBO usually evaluate overall performance as well as progress in reaching objectives. The administrator might also be evaluated in terms of his ability to formulate realistic and significant goals, the effectiveness with which resources are utilized in the accomplishment of goals, and the administrator's analysis of the relationship between means, intervening variables, and ends.

In MBO the job description and performance objectives are usually the topic of the first evaluation conference. Following the setting of objectives, alternative strategies are programmed for reaching each objective. Variables such as cost, necessary resources, and probability of effectiveness are taken into consideration. The preliminary conference is the first step in an evaluation process that generally includes:

1. Pre-appraisal planning conference,
2. Performance appraisal,
3. Progress review conference,
4. Individual development program, and
5. Post-development program review conference. [23:30]

Progress toward objectives is monitored by the collection of relevant data and controlled through corrective action. These monitoring and controlling functions are discussed in conferences subsequent to the planning conference. The administrator is provided counselling and direction by the supervisor.

Evaluation is focused on results and the effectiveness of strategies or specific activities rather than on the personal qualities of the administrator. The comparison of results to objectives determines the corrective or self-development action to be taken by the administrator.

Adams County Public School District No. 12 (Denver, Colorado) provides an example of MBO

implementation at the school district level. All school principals and supervisors are required to formulate three kinds of objectives: (1) a project (school level), (2) an individual performance goal, and (3) a personal self-development goal. These objectives are negotiated and developed in a "N+1 mode," meaning one level above the administrator, one level below, one level outside the organization, and on the same level. All objectives are either innovative or problem-related since routine responsibilities are "not objectified." Unique evaluation procedures and instruments are derived for each objective through the cooperation of the administrator, the supervisor, and the Department of Evaluation.

The effectiveness of MBO in improving performance at the school district level is demonstrated in a study conducted by Brick and Sanchis [14]. One objective, "providing the community with information about their schools," was selected for analysis. Six randomly-selected principals were asked to submit their community information plans for the year. Then their communities were administered pre-tests to determine the current level of community knowledge. After base-line data were collected, the principals were informed about the MBO test objective, provided the pre-test results, and left to construct with their staffs a needs assessment and community information plan. The principals were required to submit monthly progress reports and were offered the assistance of the district level administration in the resolution of problems. Within 12 weeks, post-test results indicated that parental knowledge increased by an average of 25 percent. The number of principal contacts with the community was also reduced from the total 270 planned initially to the 58 contacts planned under the MBO process.

The faculty team.--The faculty team concept utilizes MBO philosophy and procedures, but establishes the staff as the effective body for decision-making and objective setting. Moeller

and Mahan cite numerous studies in support of the group as the unit determining organizational performance [89:55-56]. Research demonstrating the greater productivity or employee morale under participative management and group evaluation has been cited previously in this section.

According to Moeller and Mahan, district-wide objectives should be transmitted to the school's faculty team. The team conducts a school-level needs assessment, establishes school objectives contributing to district goals, establishes school strategies, collects evaluative data from all involved, and controls progress toward the goals. The principal functions primarily as the facilitator of group communication and action. It is the principal's responsibility to lead the team in defining specific areas of responsibility and to see that members understand their roles in terms of the established goals.

The performance of the staff is evaluated both collectively and individually. The principal, as well as other staff members, is evaluated according to his contribution to group-defined goals.

Faculty teams, or approaches similar to the faculty team concept, have been implemented in several school districts. Salt Lake City (Utah) Public Schools identifies "Critical Needs (Priority Goals) of the Local Unit" [37] through involvement of administrators, faculty, students, and parents. Goals are then formulated for individual contributions to school objectives. The Fairfax County (Virginia) Public Schools has proposed a faculty team approach for the 1974-75 school year. As stated in "Commitment to Education," the "selection of objectives, plans, and evaluative measures becomes a contract between a school staff and the Superintendent, a contract to which the principal and his faculty are committed and by which the total school program will be judged and the effectiveness of the staff evaluated" [28:10].

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SURVEY OF LOCAL SCHOOL DISTRICT EVALUATION PROCEDURES

In 1968 and 1971, ERS conducted surveys of local school districts to determine the frequency of formal administrative evaluation and the types of evaluation procedures utilized. The results of the 1968 survey, which queried all systems enrolling 25,000 or more pupils and a sample of 31 smaller systems, were reported in the ERS publication titled *Evaluating Administrative Performance* [41]. The results of the 1971 survey of districts enrolling 25,000 or more pupils were reported in *Evaluating Administrative/Supervisory Performance* [42].

Another survey by ERS in 1973 inquired specifically about the use of MBO by local school systems, and particularly about administrative evaluation procedures based on performance objectives (also termed job targets or performance goals) in systems utilizing MBO. Questionnaires were sent to all school systems enrolling 12,000 or more pupils and to a group of 201 smaller suburban school systems; 60 percent of the questionnaires were completed and returned.

Frequency of Formal Administrative Evaluation

In the 1968 ERS survey, 62 school districts, or 39.5 percent of those responding, reported the use of formal procedures for the periodic evaluation of administrative/supervisory personnel. The 1971 survey identified 84 systems, or 54.5 percent of those responding, that conducted formal evaluations of administrative/su-

pervisory personnel and eight systems that reported plans to implement an evaluation program.

Data from the 1971 survey suggest that the larger the school system, the greater the probability of its having a formal evaluation program. Replies to the question, "Does your school system have a formal method for periodically evaluating the performance of administrative and supervisory personnel?" were tabulated by enrollment stratum [42:1]:

Stratum	Yes	No	Total
1(100,000 or more)	18(78.3%)	5(21.7%)	23(100.0%)
2(50,000 to 99,999)	26(52.0%)	24(48.0%)	50(100.0%)
3(25,000 to 49,999)	40(49.4%)	41(50.6%)	81(100.0%)
Totals	84(54.5%)	70(45.5%)	154(100.0%)

Types of Administrative Evaluation Procedures in Use

In the 1971 ERS study, *Evaluating Administrative/Supervisory Performance*, 12 basic types of evaluation procedures are identified from the 84 reported. Table 1 lists the frequency of each type and correlates with type five relatively common characteristics of evaluation procedures. The table indicates some of the possible variations within procedures (see page 20).

The 1971 report provides the following explanation of procedural categories listed in Table 1:

Three criteria were used to draw the 12 categories in Table 1--first, the source of input used in compiling the final evaluation (e.g., unilateral evaluator, self-evaluation, team evaluation); second, the degree to which the evaluation procedures

facilitate improved performance (e.g., post-evaluation conferences, goal setting); and third, which results from a combination of the two, the degree to which the evaluatee is a participant in the evaluation process.

The 12 procedures are grouped in Table 1 into two general types--those which assess the evaluatee against prescribed performance standards (indicators of character, skill, and performance which have been chosen as standards against which all personnel, or at least all in a similar position, will be assessed); and procedures which are based on individual job targets or performance goals, against which each evaluatee will be rated as to degree of accomplishment of each goal (management by objectives approach). [42:6]

Although some of the systems tabulated in Table 1 as having Type 1-8 evaluation procedures require that administrative performance goals be set, the evaluatee is not assessed in terms of specific goal achievement. Types 9-12, which do evaluate administrative/supervisory personnel according to achievement of goals, might also include standardized performance ratings in their procedures. The 1971 study notes that one system tabulated as Type 4 and one system tabulated as Type 5 do utilize the goal-setting approach, but only as a vehicle for improvement of administrators who have received unsatisfactory ratings on the regular checklist form.

School systems within each enrollment stratum utilized the 12 procedural types according to the distribution presented in Table 2 (on page 21).

As indicated by Table 2 (on page 21), only 19 (22.6 percent) of the 84 systems having evaluation programs during the 1970-71 school year utilized a performance goals (or objectives) approach. Of the 19 districts, 14 were in the smallest of the three enrollment strata, Stratum 3, and five were in Stratum 2. Stratum 1, with the largest student enrollments, had no districts reporting use of performance goals in administrative/supervisory evaluation. This distribution indicates an inverse relationship between size of school district (over 25,000

enrollment) and frequency of the performance goals approach to administrative evaluation.

Results of the 1968 and 1971 ERS surveys suggest a general trend toward greater use of performance objectives, even among the largest school districts. This trend is demonstrated through a comparison of data collected from school districts with enrollments of 25,000 or more students:

ERS Survey	Number of Systems with Enrollments of 25,000 or More Using Performance Objectives
1968	7 (13.7%) of 51 systems reporting administrative evaluation procedures
1971	19 (22.6%) of 84 systems reporting administrative evaluation procedures

Although the results of the 1973 ERS survey on the use of performance objectives evaluations of administrators in systems utilizing MBO are not comparable to the two earlier ERS surveys, they do support the trend to greater use of performance objectives as the basis for administrative evaluation. (They are not comparable because information on the use of performance objectives in administrative evaluations was solicited only from the systems reporting the installation of an MBO system; other systems may evaluate administrators using performance objectives and not have an MBO system.)

In contrast to the 1971 figures that showed no Stratum 1 districts utilizing evaluation by objectives, six of the Stratum 1 systems responding in 1973 indicated use of such evaluation procedures during the 1972-73 school year. Table 3 tabulates the responses from the 472 districts replying to the 1973 survey.

Since the 1973 survey was completed, there has been an increase in state mandates for administrative evaluation, some of which suggest the direct use of performance objectives as an evaluation approach at the local district level. Consequently, there is probably greater use of evaluation by objectives procedures than reported in the earlier surveys. Information re-

TABLE 1

Administrative Evaluation Procedures Used During 1970-71, 84 School Systems with 25,000 or More Pupils

Types of evaluation instruments	Types of evaluation procedures	Number of systems using each procedure	NUMBER OF SYSTEMS USING EACH TYPE OF PROCEDURE WHICH REPORTED THE FOLLOWING PRACTICES:			
			Evaluatee signs completed evaluation form	Evaluatee receives copy of completed evaluation form	Evaluation is automatically reviewed by higher authority	Evaluatee may request conference with higher authority
List of predetermined PERFORMANCE STANDARDS to be rated numerically, by selecting a descriptive phrase, or by written comments (may also include lists of needed improvements)	1. Unilateral evaluation by evaluator; no evaluation conference(s); no notification of evaluation outcome to evaluatee unless unsatisfactory rating is given	3	...	...	3	1
	2. Unilateral evaluation by evaluator; no evaluation conference(s), but evaluatee is either shown or given a copy of completed form	4	3	2	3	1
	3. Unilateral evaluation by evaluator based on conference(s) between evaluator and evaluatee during evaluation period; no post-evaluation conference is held, but evaluatee is either shown or given a copy of completed form or letter report	4	1	...	...	...
	4. Unilateral evaluation by evaluator; post-evaluation conference between evaluator and evaluatee to discuss rating received; evaluatee may also either be shown or given a copy of completed form	35	32	29	25	28
	5. Evaluations are conducted by team of educators; chairman completes summary evaluation and holds post-evaluation conference with evaluatee to discuss the rating	4	4	4	2	4
	6. The evaluator and evaluatee agree on major areas of responsibility for evaluatee; evaluator rates evaluatee on his performance in each major area; post-evaluation conference is held to discuss the evaluation	1	1	1	1	1
	7. The evaluatee rates himself and evaluator rates evaluatee; these evaluations are discussed in a conference, but only the evaluator's rating, which may or may not be modified as a result of the conference, appears on the completed form	7	3	6	5	7
	8. The evaluatee rates himself and evaluator rates evaluatee; both evaluations are discussed in conference; both evaluations appear on completed form	4	4	3	3	4
	9. The evaluatee completes a self-evaluation form, including establishing goals for next evaluation period; completed form is submitted to evaluator, who adds his comments as to accuracy of evaluatee's evaluation. Post-evaluation conference is held to discuss completed form	1	1	...	1	1
	10. The evaluator and evaluatee, in conference, establish mutually agreed upon performance goals for evaluatee, within his major areas of responsibility; evaluator rates evaluatee on his accomplishment of performance goals and performance in areas of responsibility; post-evaluation conference is held to discuss the evaluation	14	10	10	7	10
	11. Same as #10 above, except that evaluatee completes a self-evaluation prior to conference with his evaluator; evaluator places his evaluation on same form with evaluatee's; both evaluations are discussed in post-evaluation conference	6	6	5	5	4
List of predetermined PERFORMANCE STANDARDS to be rated numerically, by selecting a descriptive phrase, or by written comments (may also include lists of needed improvements)	12. Same as #11 above, except that evaluator consults with other individuals, including evaluatee's peers and/or staff, students, and parents, before completing his part of the evaluation form; only evaluator's evaluation appears on completed form	2	2	2	1	2

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ceived from state departments of education and from a review of the current literature supports this observation. Although there is no current national figures available to indicate the extent to which evaluation by objectives

has spread, a current trend toward greater use of this evaluation procedure is evident.

The administrative evaluation procedures and forms used by 11 school districts are presented beginning on page 47.

TABLE 2

Evaluation Procedures: Frequency of Use According to Stratum,* 1970-71

Procedures		Stratum 1	Stratum 2	Stratum 3	Stratums 1-3
Performance Standards	No. 1	2 (11.0%)	...	1 (2.5%)	3 (3.5%)
	No. 2	1 (5.6%)	2 (7.7%)	1 (2.5%)	4 (4.8%)
	No. 3	1 (5.6%)	1 (3.8%)	2 (5.0%)	4 (4.8%)
	No. 4	11 (61.0%)	13 (50.0%)	14 (35.0%)	38 (45.2%)
	No. 5	...	1 (3.8%)	3 (7.5%)	4 (4.8%)
	No. 6	1 (5.6%)	...	...	1 (1.2%)
	No. 7	1 (5.6%)	3 (11.6%)	3 (7.5%)	7 (8.3%)
	No. 8	1 (5.6%)	1 (3.8%)	2 (5.0%)	4 (4.8%)
Subtotals		18 (100.0%)	21 (80.7%)	26 (65.0%)	65 (77.4%)
Performance Goals	No. 9	...	...	1 (2.5%)	1 (1.2%)
	No. 10	...	3 (11.6%)	7 (17.5%)	10 (11.9%)
	No. 11	...	2 (7.7%)	4 (10.0%)	6 (7.1%)
	No. 12	...	...	2 (5.0%)	2 (2.4%)
	Subtotals	...	5 (19.3%)	14 (35.0%)	19 (22.6%)
TOTALS		18 (100.0%)	26 (100.0%)	40 (100.0%)	84 (100.0%)

* Stratum 1--100,000 or more; Stratum 2--50,000 to 99,999; Stratum 3--25,000 to 49,999.

SOURCE: *Evaluating Administrative/Supervisory Performance*. ERS Circular No. 6, 1971. Washington, D. C.: Educational Research Service, 1971. p. 6

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TABLE 3

Number of School Districts Reporting Use of Management-By-Objectives (MBO)
and Evaluation by Objectives, 1972-73

Enrollment Stratum	Management-By-Objectives (MBO)	Evaluation by Objectives in an MBO System	Number of Systems Responding
1 (100,000 or more)	13 (68.4%)	6 (31.6%)	19
2 (50,000 to 99,999)	30 (66.7%)	15 (33.3%)	45
3 (25,000 to 49,999)	38 (53.5%)	24 (33.8%)	71
4 (12,000 to 24,999)	111 (50.0%)	67 (30.2%)	222
Smaller systems	46 (40.0%)	26 (22.6%)	115
TOTALS	238 (50.4%)	138 (29.2%)	472

SOURCE: Survey by Educational Research Service, February 1973.

STATE-MANDATED EVALUATION

In the spring of 1974, ERS sent an inquiry to the chief school officer in each of the 50 states and the District of Columbia requesting information regarding administrative evaluation policy. Forty-seven of the states and the District of Columbia responded. The survey results indicated that nine states--California, Connecticut, Florida, Hawaii, Kansas, Nevada, Oregon, Virginia, and Washington--mandate the evaluation of local school building administrators. Three states--New Hampshire, South Dakota, and New Mexico--are in the process of developing accountability programs involving administrative evaluation.

Hawaii provides a standard, state-developed appraisal procedure and instrument. The remaining states with evaluation mandates require that local school districts develop standardized procedures and criteria for the evaluation of school-level administrators and submit those to the state boards of education. The state mandates differ, though, in terms of: (1) the frequency with which evaluation is to be conducted, (2) the extent to which procedures and criteria are dictated by the state statute or by the state department of education, and (3) the assignment of responsibility at the local district level for the development of evaluation procedures.

The state mandates and, in some cases, state guidelines for administrative evaluation are described in the following sections. Also, Maine's mandated program of school self-evaluation, which includes administrative self-evaluation, is described.

California

The California statute commonly referred to as the "Stull Act" [43] requires the development and adoption of district-level evaluation guidelines to assess the performance of all certificated personnel including administrators (effective as of March 4, 1972). Annual evaluation of probationary personnel and biennial evaluation of permanent personnel is mandated. Written guidelines must be submitted to the State Board of Education for approval. In developing these guidelines, a school board must avail itself of advice from the certificated personnel covered under the guidelines.

The Stull Act identifies four main areas to be evaluated:

1. The establishment of standards of expected student progress in each area of study and techniques for the assessment of that progress;
2. Assessment of certificated personnel competence as it relates to the established standards;
3. Assessment of other duties normally required to be performed by certificated employees as an adjunct to their regular assignments; and
4. The establishment of procedures and techniques for ascertaining that the certificated employee is maintaining proper control and is preserving a suitable learning environment. [24:5]

In order to meet these evaluation requirements, position descriptions or definitions of duties must be established for all certificated personnel. In addition, "classroom control" and "suitable learning environment" must be defined.

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In protecting the needs of the evaluatee, the Stull Act requires that the evaluatee be provided a calendar of events related to the evaluation process prior to its implementation and a systematic procedure for obtaining assistance. The calendar must allow 60 days between the issuance of a formal evaluation report and the end of the school year. The appraisal process itself must give consideration to the availability of resources, the environmental conditions, and the assistance requested and provided as well as to job responsibilities and student/program standards of progress. Follow-up counseling and other assistance must be provided for evaluatees whose performance is judged as not meeting competency standards.

The "Stull Act" was subsequently accompanied by an act that directs the State Department of Education to develop and disseminate evaluation guidelines and materials [19; 24] that may be used by local districts in developing their own procedures. The procedures and instruments developed by two California school districts in response to the "Stull Act" are presented beginning on pages 56 and 106.

Connecticut

In 1973 the Connecticut General Assembly passed a statute requiring annual evaluation of all certified employees below the rank of superintendent [29]. The State Board of Education was directed to provide local school districts with standards of evaluation. The 1974 session of the General Assembly reconsidered its 1973 act and reassigned the responsibility of developing evaluative criteria and procedures to the local school districts. Guidelines are provided by the State Department of Education. Those developed following the passage of the 1973 statute include:

1. Each professional shall cooperatively determine with the

evaluator(s) the objectives upon which his or her evaluation shall be based.

2. The evaluation program is cooperatively planned, carried out, and evaluated by all levels of the staff.
3. The purposes of the evaluation program are clearly stated in writing and are well known to the evaluators and those who are to be evaluated.
4. The general responsibilities and specific tasks of the teacher's position should be comprehensively defined and this definition should serve as the frame of reference for evaluation.
5. The accountability relationship of each position should be clearly determined. The teacher should know and understand the means by which he or she will be evaluated in relation to that position.
6. Evaluations are more diagnostic than judgmental. The process should help analyze the teaching and learning to plan how to improve.
7. Evaluation should take into account influences on the learning environment such as material and professional resources.
8. Self-evaluation is an essential aspect of the program. Teachers are given the opportunity to evaluate themselves in positive and constructive ways.
9. The self-image and self-respect of teachers should be maintained and enhanced. Positive self-concepts can be fostered by an effective evaluation plan.
10. The nature of the evaluations is such that it encourages teacher creativity and experimentation in planning and guiding the teacher-learning experiences provided children.
11. The program makes ample provision for clear, personalized, constructive feedback. [117:6-7]

Florida

A Florida state statute calling for annual evaluation of all administrative and supervisory personnel was passed in 1967 [110]. The statute

is directed toward the improvement of administrative/supervisory performance.

The superintendents of schools are given the responsibility of establishing assessment procedures in accordance with the following provisions:

1. Assessment of each individual must be conducted at least once a year;
2. the administrator directly responsible for the supervision of the individual conducts the evaluation;
3. prior to formal assessment, each individual must be informed of the criteria and the procedure to be used;
4. the written assessment must be shown to the evaluatee and discussed by the administrator responsible for preparing the report; and
5. a written record of each assessment must be maintained in the district.

Hawaii

The Hawaii State Department of Education mandates the annual evaluation of administrative personnel. Procedures and forms are developed by the State Department and are standardized throughout the state. The "Principal Evaluation Report" form is reproduced on pages 31 and 32 as an illustration of the administrative evaluation instruments in use.

Kansas

Evaluation of administrative school personnel was mandated by a 1973 legislative act [74]. The act stipulates that every certificated school employee must be evaluated at least two times per

year during the first two consecutive years of employment, at least once per year during the third and fourth years of employment, and at least once every three years thereafter.

Local school boards are responsible for the adoption of written evaluation policies and procedures that must be filed with the Kansas State Board of Education. According to the act, local evaluation guidelines must comply with the following guidelines:

1. Evaluation policies must be developed by the Board in cooperation with the persons responsible for conducting evaluations and the persons to be evaluated.
2. Community attitudes and interests should be taken into consideration.
3. Evaluations are to be made by personnel designated by the board.
4. Consideration should be given to efficiency, personal qualities, professional deportment, ability, health, results and performance, and other matters deemed appropriate.
5. Persons to be evaluated should participate in their evaluation and be given the opportunity for self-evaluation.
6. Written assessments must be shown to the evaluatee and signed as an acknowledgment of its presentation.

Maine

Although Maine does not specifically require the evaluation of administrative personnel, it does mandate school self-evaluation.^{1/} This self-evaluation involves administrators as well as all parties concerned with the educational process.

^{1/} From correspondence with State Department of Educational and Cultural Services.

The *Elementary Self-Evaluation, K-8* manual acts as the vehicle for elementary school self-assessment and improvement. The manual must be completed in full by the administrators and by the teacher, pupil, parent, and community groups (represented by committees) designated in each section. In collecting feedback from these groups, the manual aids the elementary school in examining itself, identifying its educational needs, and determining long- and short-range priorities.

The administrative section of *Elementary Self-Evaluation, K-8* [39:4-16] is reproduced beginning on page 33.

Nevada

A statute requiring evaluation of school level administrators was enacted by the Nevada legislature in 1973 [44]. The statute directs each local board of school trustees to develop objective administrative evaluation policies and file those with the state board of education. Evaluation policies must be developed with the consultation and involvement of elected or designated representatives of administrative personnel. The statute suggests student, superior, peer, and self-evaluation as evaluative procedures.

Oregon

A statute enacted in 1971 makes superintendents of schools responsible for the annual evaluation of all teachers ("teacher" means any certificated personnel excluding the superintendent) in districts with over 500 average daily membership [94]. The mandate also directs the Oregon Board of Education to devise evaluative procedures and forms to be used or adapted by local school boards in the development of procedures appropriate to their districts' goals.

Guidelines developed by the Oregon Board of Education include:

1. The primary purpose of evaluation and supervision of professional performance is to promote personal growth and competence.
2. Evaluation and supervision processes should include provisions for objective judgment by qualified peers.
3. Procedures should be designed for the channeling of relevant information from parents, students, board members, and other members of the community.
4. Criteria for evaluation should be clearly defined and provided for all personnel.
5. Criteria of evaluation should be adapted to the particular situation and professional responsibilities of the evaluatee; specific criteria should be agreed upon by the evaluator and evaluatee prior to the evaluation process.
6. Genuine efforts should be made to assist the staff member in improving professional performance.
7. The evaluators of each staff member should be clearly identified.
8. The processes of evaluation and supervision should be continuous; personnel performance should be observed periodically with a personal conference following each observation.
9. Frequency of observation should be increased for employees whose performance is in question so that maximum assistance is provided.
10. Evaluations should be based on planning and organizing of instructional objectives, learning environment, human relationships and attitudes, professional preparation and growth, student achievement, performance of designated tasks, and ethical professional conduct.

11. Evaluations must be in writing with signatures of both the evaluator and the evaluatee. The evaluatee's signature only indicates that he has read the evaluation; other provisions must be established by which the evaluatee may respond to the evaluation. [126:2-5]

The state-developed evaluation form that must be incorporated in all district level evaluation programs is reproduced on page 40. Additional "suggested" forms are provided the local school district by the Oregon State Board of Education. Most of these forms, however, are more appropriate for the evaluation of teaching personnel than for administrative personnel.

Virginia

In 1972 the General Assembly of Virginia enacted the "Standards of Quality for Public Schools in Virginia, 1972-74" [122]. It requires that principals and assistant principals be evaluated in terms of eight criteria, designated with "indicators which give specific direction for meeting the criterion" [47:23]. In addition to the indicators, a sample objective which may be developed by the evaluator and evaluatee is given for each criterion. (The state board of education recommends the setting and assessing of performance objectives.) Table 4 shows the "Performance Criteria: Principals" contained in the *Evaluation Procedures Handbook (Tentative Model)* prepared by the Virginia State Department of Education in January 1974.

(Continued on page 30)

TABLE 4
Performance Criteria: Principals (Virginia)

1. Develop Annual School Plan

INDICATORS	SAMPLE OBJECTIVE
a. Provide for an assessment of the current status of the school on the basis of how well it is achieving its purposes	d. To involve staff and community in developing annual plan as it relates to the school's assessment. Principal will develop questionnaires to be distributed to all patrons, students and staff members prior to January 1 of the school year to obtain their expression as to the areas they feel need improvement. A joint committee of patrons, teachers, students and administrators should tabulate the results of the questionnaires and rank and order priority as seen by each group prior to March 1 of the school year. The priorities set will be used in developing the annual school plan.
b. Determine the content of the plan realistically in accordance to assessment	
c. Make plan consistent with division-wide plan	
d. Involve staff and community in developing annual plan as related to the school's assessment	
e. Provide effective leadership in the execution of the annual plan	
f. Provide for evaluation of the effectiveness of the annual plan	

2. Develop Handbook of Policies and Procedures

INDICATORS	SAMPLE OBJECTIVE
a. Involve affected persons or groups in determining the content of the handbook	a. To involve affected persons or groups in developing the handbook. Principal will organize a committee of

TABLE 4 (Continued)

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- b. Involve affected persons or groups in developing the handbook
- c. Operate school in accordance with the provisions stated in the handbook

three for each of the following areas: (1) personnel management, (2) instructional supplies and materials, (3) pupil services, and (4) school safety. The committee shall work with the appropriate individual from the central administrative office to insure that the policies and desires of the local school would be consistent with the school division's policy. The policies and procedures developed by the committee will then be compiled into a handbook.

3. Coordinate Services of Persons Working in the School (Professional and Non-Professional)

INDICATORS

SAMPLE OBJECTIVE

- | | | |
|---|--|--|
| <ul style="list-style-type: none"> a. Orient new personnel to their responsibilities b. Assist all employed school personnel in preparing job descriptions c. Establish work schedules d. Develop an organizational chart showing the line of authority and responsibility within the school e. Monitor work performance | | <ul style="list-style-type: none"> a. To orient new personnel to their responsibilities. Principal will (1) establish immediate contact with the person upon the signing of the contract to explain in detail his specific assignment and (2) set aside a time period in the pre-school workdays to discuss the total instructional program and the expectations of each person. Assessment of effectiveness of the orientation will be made according to the adjustment of the new employee to his assignment. |
|---|--|--|
4. Assign Pupils to Classes, Programs, and Activities

INDICATORS

SAMPLE OBJECTIVE

- | | | |
|--|--|---|
| <ul style="list-style-type: none"> a. Assess strengths and weaknesses of pupils b. Consider the wishes of students and parents c. Maintain a balance between curricular and co-curricular involvement d. Use available personnel and resources to provide programs for learning disabilities | | <ul style="list-style-type: none"> b. To consider the wishes of students and parents. Students are to be guided in the selection of their courses for their program each year, with the final decision resting with the student and his parents. After the course selections are finalized changes may be made in extenuating circumstances. Assessment will be determined by the attitude of student and parents toward the final schedule. |
|--|--|---|
5. Provide Instructional Materials and Equipment

INDICATORS

SAMPLE OBJECTIVE

- | | | |
|---|--|---|
| <ul style="list-style-type: none"> a. Keep abreast of trends in availability and feasibility of materials b. Procure appropriate materials and equipment c. Distribute materials and equipment on an equitable basis | | <ul style="list-style-type: none"> c. To distribute materials and equipment on an equitable basis. Principal will (1) secure the cooperation and involvement of all affected personnel in preparing budgetary needs and recommendations; (2) propose a budget that considers the educational program (i.e., benefits of students), the expenditure necessary |
|---|--|---|

- d. Supervise the appropriate use of equipment and materials

to support the budget and the likely resources available; and (3) allocate budget funds in accordance with the evaluation of existing programs, program needs and budget limitations. Assessment will be made by a final written report provided by each department head.

6. Evaluate Pupil Progress and Instructional Effectiveness

INDICATORS

- a. Assist staff in designing realistic student evaluation procedures
- b. Keep aware of teacher practices in student evaluation
- c. Analyze cause of student failure
- d. Increase level of student success (degree of progress)
- e. Assess instructional effectiveness

SAMPLE OBJECTIVE

- c. To analyze cause of student failure. Principal will (1) obtain a list of student failures for each class and grade analysis for each teacher, (2) determine whether teacher's expectations of students exceed their potential, (3) consult with teachers to make any necessary referrals to specialists to assist the students who are failing, and (4) secure teachers' or students' commitments to positive courses of action in an effort to influence future student progress. Assessment will be made according to decrease or increase in student failure.

7. Supervise Instruction and Assist Teachers

INDICATORS

- a. Develop a plan of supervision
- b. Allocate time for supervision
- c. Coordinate school level supervision with services from central office
- d. Relate supervision to standards for classroom planning and management

SAMPLE OBJECTIVE

- a. To develop a plan of supervision. Principal will (1) develop an organizational chart for those individuals responsible for supervision; (2) establish guidelines for department chairmen to follow in assisting and evaluating their department as a whole and the individuals in the department; and (3) write, distribute and discuss with all staff members the objectives for the plan of supervision. Assessment will be determined by teacher attitude toward instructional supervision.

8. Provide for Cooperative Evaluation Program

INDICATORS

- a. Develop procedures for diagnosing teacher performance
- b. Apply evaluation procedures
- c. Relate evaluation procedures to objectives for classroom planning and management
- d. Coordinate evaluation and supervision

SAMPLE OBJECTIVE

- a. To diagnose teacher performance. Principal will make at least two classroom observations and conduct at least one informal conference. Form TE 1 will then be completed and objectives formulated in cooperation with the evaluatee.

The mandated standard pertaining to the evaluation of administrators specifies that:

The superintendent and his staff shall provide for the cooperative evaluation of central office personnel and principals and shall provide assistance to principals in the cooperative evaluation of teachers and other school employees [122: Planning and Management Standards, No. 8].

The specific evaluation procedures to be used must be submitted to the Virginia State Department of Education by the end of June 1974. The submitted plan must also indicate the manner in which the evaluation procedures were developed.

As a guide to local school districts, the state department of education developed evaluation schedules, procedures, and instruments reproduced on pages 40 through 45. [47:34-41] The guidelines suggest that newly appointed principals be evaluated during their first year and that principals receiving satisfactory appraisals be evaluated every other year, with self-evaluations during the years in between. Principals receiving unsatisfactory ratings are evaluated annually until positive appraisals are received.

Washington

Evaluation of all certificated personnel, including administrators and supervisors, was mandated by a state statute enacted in 1969 [132]. The statute directs the local school boards to establish evaluative criteria and procedures

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through the appropriate negotiation processes. Certain stipulations are provided in the statute:

1. Evaluation of all certificated employees should be conducted at least once annually.
2. New employees must be evaluated within the first ninety calendar days of their employment.
3. Every employee whose work is judged unsatisfactory must be notified in writing regarding the deficient areas and must be provided recommendations for improvement by February of each year.

State Evaluation Instruments

The evaluation forms prepared by the state education departments of Hawaii, Oregon, Maine, and Virginia are presented on pages 31 through 45. As indicated in the previous descriptions of state mandates, the Hawaii and Oregon forms are standardized and required evaluation instruments, the Maine forms are part of a mandated program of annual school evaluation, and the Virginia forms are provided as guidelines to be used by local districts in preparing their individual evaluation instruments.

In some cases, evaluation forms have been edited to conserve space, but an effort has been made to preserve the content and meaning of the forms. Any omissions are stated in writing or indicated by means of a graphic torn-page symbol.

Personnel Form 753
Rev. 2/71, TAC 71 2478



STATE OF HAWAII
DEPARTMENT OF EDUCATION
OFFICE OF PERSONNEL SERVICES
P. O. BOX 2360
HONOLULU, HAWAII 96804

PRINCIPAL EVALUATION REPORT

Principal's Name: _____ School: _____

Evaluated by: _____ For the period: _____

INSTRUCTIONS: Fill in the boxes to the right of the factors with the descriptive words poor, fair, satisfactory, good, or excellent. You will note that the factors are arranged in outline form. Every factor that is a heading is a summary of those subfactors specifically subsumed under it as well as those not specified but implied in the heading. Not all of the factors are of the same importance nor are identical factors of the same importance in every school. It is not intended that this form yield a "score". It is intended merely as a reminder that each of these factors needs to be considered objectively before making an overall judgment. Do not feel compelled to start at the top and work down. Start with factors about which you have the most information. If you do not have sufficient information to rate a factor, leave it blank. Individual items may be evaluated and dated during the semester.

Date _____

OVERALL PERFORMANCE

1. INSTRUCTIONAL PROGRAM

a. Supervision & evaluation of teachers

(1) Regular teachers

(2) Probationary teachers

b. Assignment of teachers and scheduling of classes

c. Knowledge of curriculum

d. Use of instructional aids & equipment

e. Quality of program planning

2. PUPIL PERSONNEL PROGRAM

a. Guidance Program

b. Discipline

c. Attendance

d. Health & Safety Program

3. STAFF RELATIONS

a. With teachers

(1) Individually

(2) As a group

(3) Relations with employee organizations

(4) Quality of professional faculty meetings

b. With classified employees

(Over)

(Continued)

Date _____

4. MANAGEMENT FUNCTIONS
- a. Physical Plant
- b. Office Management
- c. Finance
5. COMMUNITY RELATIONS
- a. With individual parents
- b. With PTA
- c. With other organizations
- d. With other individuals
6. DEPARTMENTAL RELATIONS
- a. Knowledge of functions of other schools and parts of Department
- b. Knowledge of Departmental policy and regulations
- c. Cooperation with other schools and parts of Department
7. EFFORTS TOWARD PROFESSIONAL
IMPROVEMENT

REMARKS BY RATER:

REMARKS BY PRINCIPAL:

(Principal's signature does not necessarily indicate approval but merely that he is aware of evaluation)

Principal's Signature _____ Date _____

District Superintendent's or _____ Date _____
Supervising Principal's Signature

Distribution: WHITE - Office of Personnel Services, GOLDENROD - School, PINK - District, BLUE - Principal

ADMINISTRATION-SUPERVISION-ORGANIZATION

Administration-supervision-organization in the elementary school assists in promoting the best learning environments and opportunities for boys and girls by providing leadership to the school staff. Most of the in-school educational experiences to which children are exposed result from interaction among and between children and classroom teachers. The administration-supervision-organization structure within the school is supportive to classroom teachers and to those other staff members affecting children's learning experiences. The administrative and supervisory functions foster an atmosphere in which personnel may work effectively for the realization of the system's goals.

(WHENEVER THE WORD PRINCIPAL APPEARS IN THIS SECTION OF THE TEXT, IT INCLUDES THE PRINCIPAL OR OTHER DESIGNATED PERSONNEL ASSIGNED TO CARRY OUT THIS FUNCTION.)

(ODP - OTHER DESIGNATED PERSONNEL.)

Respond to all items in this section using this frame of reference - WHAT ONE UNDERSTANDS TO BE GENERALLY RECOGNIZED HIGH QUALITY EDUCATIONAL PRACTICE OR PROCEDURE.

Use reverse side for additional comments.

1. The board of education seeks financial support from local, state, and Federal sources for a quality educational program.

Strengths:

Weaknesses:

(Blank space has been omitted)

2. Through its function as a policy-making body, the board of directors or school committee supports a quality educational program.

Strengths:

Weaknesses:

(Blank space has been omitted)

3. Programs supported by specifically allocated state and Federal funds are cooperatively developed by administrators, teachers, students and citizens.

Strengths:

Weaknesses:

(Blank space has been omitted)

4. Cooperatively developed written policies that cover the operation of the school system have been distributed to all school employees and made available to the public.

Strengths:

Weaknesses:

(Blank space has been omitted)

5. An advisory committee on affirmative action has been established and has participated in writing an affirmative action plan.

Strengths:

Weaknesses:

(Blank space has been omitted)

6. The affirmative action plan approved by the board is on file in the superintendent's office.

Strengths:

Weaknesses:

(Blank space has been omitted)

7. The affirmative action plan has been implemented in the school system.

Strengths:

Weaknesses:

(Blank space has been omitted)

8. The superintendent of schools (or odp) provides leadership for the development of written rules and regulations governing operation of the system and defining relationships and responsibilities among members of the administrative and supervisory team.

Strengths:

Weaknesses:

(Blank space has been omitted)

9. Principals (or odp) exercise their responsibility to advise the superintendent in selecting, dismissing, assigning, and promoting staff members under their supervision.

Strengths:

Weaknesses:

(Blank space has been omitted)

10. All business of individual school buildings is channeled through the principal (or odp).

Strengths:

Weaknesses:

(Blank space has been omitted)

11. Within the structure of policies developed by the school system, individual school regulations are developed cooperatively by the principal and teachers with appropriate participation of pupils.

Strengths:

Weaknesses:

(Blank space has been omitted)

12. In-service opportunities are made available to the instructional and noninstructional staff.

Strengths:

Weaknesses:

(Blank space has been omitted)

13. The principal (or odp) assumes responsibility for the quality of teaching in the school.

Strengths:

Weaknesses:

(Blank space has been omitted)

14. The principal (or odp) works with individual teachers and groups of teachers who need or ask for help in improving instructional and noninstructional duties.

Strengths:

Weaknesses:

(Blank space has been omitted)

15. The principal (or odp) assists in obtaining instructional materials and equipment to meet individual needs of pupils.

Strengths:

Weaknesses:

(Blank space has been omitted)

16. The principal (or odp) acts as a resource person and provides leadership in arranging for consultants within or from outside the system.

Strengths:

Weaknesses:

(Blank space has been omitted)

17. The principal (or odp) helps evaluate and selects textbooks and other teaching materials.

Strengths:

Weaknesses:

(Blank space has been omitted)

18. The principal (or odp) recognizes the importance of high staff morale and works for its improvement.

Strengths:

Weaknesses:

(Blank space has been omitted)

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19. The principal (or odp) provides an orientation for teachers who are new to the school.

Strengths:

Weaknesses:

(Blank space has been omitted)

20. The principal (or odp) encourages teachers to maintain constant self-evaluation.

Strengths:

Weaknesses:

(Blank space has been omitted)

21. The principal (or odp) provides for the safety and welfare of the pupils under his supervision.

Strengths:

Weaknesses:

(Blank space has been omitted)

22. The principal (or odp) maintains an effective public relations program.

Strengths:

Weaknesses:

(Blank space has been omitted)

23. The principal (or odp) is responsible for coordination of efforts of all personnel under his supervision.

Strengths:

Weaknesses:

(Blank space has been omitted)

24. The principal (or odp) helps coordinate the program on a K to 12 basis.

Strengths:

Weaknesses:

(Blank space has been omitted)

25. The school system has reviewed the reports of the Maine Assessment of Educational Progress, and has taken appropriate action.

Strengths:

Weaknesses:

(Blank space has been omitted)

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26. Organization for instruction and learning is consistent with the school system's philosophy and objectives and is evaluated accordingly.

Strengths:

Weaknesses:

(Blank space has been omitted)

27. Selection and utilization of substitute teachers promotes continuity of instruction for children.

Strengths:

Weaknesses:

(Blank space has been omitted)

28. Programs are provided for substitute teachers.

Strengths:

Weaknesses:

(Blank space has been omitted)

29. The principal (or odp) oversees the school food service program with attention given to the nutritional needs of school children.

Strengths:

Weaknesses:

ADMINISTRATION-SUPERVISION-ORGANIZATIONPRIORITIES

	Short Range	Long Range
Little or No Cost		
Little or No Cost		

COMMENTS

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Complete in triplicate:
Original for Personnel File
Blue Copy for Teacher
Pink Copy for Supervisor

School District No. _____
_____, Oregon

TEACHER PERFORMANCE EVALUATION

Name _____ Employee Status _____

Assignment _____ School _____

Instructions: This form is to be completed pursuant to rules adopted by the district school board. Use the back of this form, additional pages, and the district form for a complete evaluation to improve the quality of instruction. The evaluation form shall be delivered to the teacher and one copy maintained in the teacher's personnel file. This form may be duplicated as necessary.

"Teacher" means any person who holds a certificate as provided in ORS 342.125 who is employed on other than a part-time basis as an instructor or administrator.

1. The teacher met, failed to meet, or exceeded his or her performance goals and objectives during the evaluation period. (Explain)

(Blank space has been omitted)

2. In what areas has the teacher shown development and growth in the teaching profession?

(Blank space has been omitted)

3. In what specific areas does the teacher need to demonstrate additional development and growth? (Include suggestions for improvement.)

(Blank space has been omitted)

4. Additional comments:

(Blank space has been omitted)

5. Supervisor's Recommendations:

- ☐ Renewal of Contract
☐ Advancement in Salary
☐ _____

- ☐ Nonrenewal of Contract
☐ No Advancement in Salary

Teacher's Comments: _____

This is to certify that we have read and discussed the above report.

Identify attachments: _____

Teacher's Signature _____ Date _____

Supervisor's Signature _____ Date _____

Oregon Board of Education
Form No. 81-581-1231

Chapter 570, Oregon Laws 1971

SECTION 5. (1) The district superintendent of every common and union high school district having an average daily membership, as defined in ORS 327.006, of more than 500 students in the district shall cause to have made at least annually an evaluation of performance for each teacher employed by the district in order to allow the teacher and the district to measure the teacher's development and growth in the teaching profession. A form shall be prescribed by the State Board of Education and completed pursuant to rules adopted by the district school board. The person or persons making the evaluations must hold teaching certificates. The evaluation shall be signed by the school official who supervises the teacher and by the teacher. A copy of the evaluation shall be delivered to the teacher.

(2) The annual evaluation reports shall be maintained in the personnel files of the district.

(3) The annual evaluation report shall be placed in the teacher's personnel file only after reasonable notice to the teacher. Any explanation relating to the evaluation which the teacher desires to make shall be placed in the personnel file.

(4) The personnel file shall be open for inspection by such teacher but shall be open only to such other persons as are officially designated by the board or by the teacher, in accordance with such rules and regulations as the board shall adopt.

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WHAT TIMETABLE AND STEPS ARE REQUIRED?

DATE	STEPS
By July 15	The evaluator distributes evaluation forms and instructions. The evaluator and evaluatee review and complete Diagnostic Form PR 1, which includes the performance criteria for principals. These criteria serve as a yardstick against which performance can be measured.
July 15 - 3rd week Aug.	The evaluator and evaluatee cooperatively identify the performance criteria where performance can be strengthened and areas where improvement is needed. They should then write specific performance objectives for the evaluatee. (See Form PR 2)
1st week Nov. - 1st week Dec.	The evaluator and evaluatee hold at least one conference to discuss the evaluatee's progress. Data that may indicate the degree to which performance objectives are being met should be collected.
*2nd week Feb. - 1st week Mar.	Based upon the data collected during the period of evaluation, the evaluator and evaluatee should make individual assessments of the degree to which the objectives have been fulfilled. (See Forms PR 3 and PR 4)
1st week Mar. - 1st week April	The evaluation conference should be a conversation between the evaluator and evaluatee. The purpose of the conference should be to (a) compare the assessment of the evaluator and the self-assessment of the evaluatee, (b) discuss implications of the assessments, (c) analyze the causes of performance accomplishment or lack of it, and (d) make plans for the next evaluation. The evaluator carries the responsibility for providing the evaluatee with an overall assessment of his or her performance.

*In the case of evaluatees whose performance is judged to be less than satisfactory and some personnel action is to be taken, this deadline may have to be adjusted to conform with State laws or Board of Education regulations.

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FORM PR 1. DIAGNOSIS OF PRINCIPAL PERFORMANCE

Directions:

Using a copy of this inventory form, evaluatee and evaluator will independently diagnose the status of the evaluatee's current performance. It is not a post-performance rating form. It is to be used to assist in the identification of areas indicating performance strengths or those in which improvement is needed.

Area of strength is to be indicated by 3; area needing some improvement, by 2; and area needing considerable improvement, by 1. When the status of current performance has been determined, those areas identified as needing considerable improvement should be given first consideration in preparing performance objectives. (See Form PR 2)

PERFORMANCE CRITERIA	CHECK		
	3	2	1
1. ANNUAL SCHOOL PLAN			
a. Assessment of current status			
b. Determining content of plan			
c. Making plan consistent with district-wide plan			
d. Involving staff and community in development of plan			
e. Implementing the plan			
f. Evaluating the plan			
g. Other (specify) _____			
2. HANDBOOK OF POLICIES AND PROCEDURES			
a. Determining content of handbook			

(Performance Criteria 3-7 have been omitted; a complete list of criteria is contained in Table 4 on page 27)

8. COOPERATIVE EVALUATION PROGRAM			
a. Developing evaluation procedures			
b. Applying evaluation procedures			
c. Relating evaluation procedures to standards for class-room planning and management			
d. Coordinating evaluation and supervision			
e. Other (specify) _____			

Signature _____

Date _____

Check

☐

Self-diagnosis

☐

Evaluator's diagnosis

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Original: evaluatee
 1st copy: evaluator
 2nd copy: reviewer
 (if involved)

FORM PR 2. LISTING OF PERFORMANCE OBJECTIVES

Evaluatee _____ Position _____

School/Office _____ Evaluator _____

Year for which being evaluated _____ Reviewer _____

Directions:

1. The determination of evaluatee's performance objectives is a cooperative endeavor by evaluatee and evaluator. Those objectives selected must be mutually agreed upon by evaluatee and evaluator with concurrence of reviewer, if one is involved.
2. Consider first those major areas in Column I which have been singled out in Form PR 1 as needing considerable improvement. Identify specific objectives which, if achieved, are believed to be likely to improve performance. Select those which offer the greatest opportunity of achieving maximum degree of improvement. (It is not necessary to have an objective in each area.)
3. Write performance objectives in Column II.
4. Work to achieve the objectives during the year.
5. Discuss with evaluator ways to make periodic assessment of progress being made.

AREAS	LIST PERFORMANCE OBJECTIVES
ANNUAL SCHOOL PLAN	
HANDBOOK OF POLICIES AND PROCEDURES	
COORDINATING SERVICES OF PERSONS WORKING IN SCHOOL	
ASSIGNMENT OF PUPILS TO CLASSES, PROGRAMS, AND ACTIVITIES	

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FORM PR 2. LISTING OF PERFORMANCE OBJECTIVES (Continued)

AREAS	LIST PERFORMANCE OBJECTIVES
USAGE OF INSTRUCTIONAL MATERIALS AND EQUIPMENT	
EVALUATION OF PUPIL PROGRESS AND INSTRUCTIONAL EFFECTIVENESS	
INSTRUCTIONAL SUPERVISION AND ASSISTANCE TO TEACHERS	
COOPERATIVE EVALUATION PROGRAM	

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Original: Evaluatee
 1st copy: Evaluator
 2nd copy: Reviewer
 (if involved)

FORM PR 3. SELF-EVALUATION OF OBJECTIVE ACHIEVEMENT

Evaluatee _____ Position _____
 School/Office _____ Evaluator _____
 Year for which being evaluated _____ Reviewer _____

Directions:

1. In Column I, list objectives as they appear on Form 2. In the self-evaluation column check the degree to which you feel the objective was achieved. Use the following key to indicate the achievement of expectation level: 3--Exceeded, 2--Met, 1--Below Expectations.
2. In the Comments space write a brief statement of the reasons for the estimates given in the self-evaluation column.

PERFORMANCE OBJECTIVES	Self-Evaluation		
	3	2	1
COMMENTS			

Signature of Evaluatee _____ Date _____

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Original: Evaluator
 1st copy: Evaluatee
 2nd copy: Reviewer
 (if involved)

FORM PR 4. EVALUATOR'S ASSESSMENT OF ACHIEVEMENT

Evaluatee _____ Position _____
 School/Office _____ Evaluator _____
 Year for which being evaluated _____ Reviewer _____

Directions:

In this space, write a statement of your evaluation of the degree to which you believe the evaluatee's objectives were met. State each objective and give an assessment of achievement of it. Be explicit. Use reverse side of form if more space is needed.

(Blank space has been omitted)

In this space, make an overall assessment for each of the major areas of responsibility. Use the following key: 3--Exceeded; 2--Met; 1--Below Expectations.

AREA	DEGREE OF ACHIEVEMENT		
	3	2	1
ANNUAL SCHOOL PLAN			
HANDBOOK OF POLICIES AND PROCEDURES			
COORDINATING SERVICES OF PERSONS WORKING IN SCHOOL			
ASSIGNMENT OF PUPILS TO CLASSES, PROGRAMS AND ACTIVITIES			
USAGE OF INSTRUCTIONAL MATERIALS AND EQUIPMENT			
EVALUATION OF PUPIL PROGRESS AND INSTRUCTIONAL EFFECTIVENESS			
INSTRUCTIONAL SUPERVISION AND ASSISTANCE TO TEACHERS			
COOPERATIVE EDUCATION PROGRAM			

Evaluator _____ Date _____

Reviewed by _____ Date _____

SAMPLES OF LOCAL SCHOOL DISTRICT EVALUATION PROCEDURES

The administrative evaluation procedures and forms used by ten school districts are presented in the following pages. These illustrate a wide variety of approaches to evaluation, but do not represent all evaluation programs in operation nationwide. In some cases, evaluation forms have been edited and blank space deleted in order to make the forms more compact, but the content of the forms has not been altered. All deletions are graphically indicated by means of a torn-page symbol.

The first four sample evaluation programs assess performance in terms of administrative function or responsibility. The fourth program establishes performance goals in each major area of responsibility. In that respect it is similar to programs five and six that evaluate

administrators according to achievement of performance objectives. Programs seven through nine incorporate a combination of evaluation procedures, including evaluation by performance objectives. The final program relates a combination of evaluation procedures to a merit pay system.

The traditional evaluator checklists or ratings of standard administrative skills and qualities have not been included except when combined with some other evaluation technique. Samples of these checklist instruments are contained in ERS Circular No. 7, 1968, *Evaluating Administrative Performance* [41], available on loan to ERS subscribers and obtainable in most professional libraries.

North East Independent School District
San Antonio, Texas

The evaluation process at North East Independent School District concentrates upon nine areas of administrative responsibility and activities that are assumed to result in the successful fulfillment of each area. Since the evaluation process is intended to be a growth

experience, self-evaluation of past behavior is combined with feedback from the immediate superior. Further description of administrator evaluation is provided in the districts evaluation form, which has been reproduced in its entirety.



North East Independent School District

10333 BROADWAY - SAN ANTONIO, TEXAS 78286

EVALUATION FORM

FOR

ADMINISTRATION AND SUPERVISORY PERSONNEL

NAME _____ DATE _____

POSITION _____ SCHOOL OR DEPARTMENT _____

This form has been developed as part of a continuous improvement program for all administrators and supervisory personnel. It is intended that the use of it be a professional growth experience for all persons involved. Emphasis is to be placed upon self-evaluation on the part of each individual. The process will require the cooperation of all concerned.

Two columns are provided to the left of each number. Each individual is to complete a form on himself, using the column to the immediate left of the number. After the form has been completed it is to be forwarded to the individual's immediate supervisor. The immediate supervisor will then complete the second column on the individual. A conference will be held between the individual and his immediate supervisor in which the evaluations will be discussed. The completed form will be kept on file in the immediate supervisor's file. The immediate supervisor for Principals, Assistant Superintendents, and Administrative Assistants is the Superintendent. If an item does not appear to apply to an individual's position N/A should be entered in the space.

This information will be kept in strict confidence. Unauthorized persons will not have access to it.

EVALUATION TERMS

- C - Commendable - Exceeds the standards of North East School District.
- A - Acceptable - Meets the standards of North East School District
- I - Needs improvement - Improvement is needed in order to meet the standards of North East School District.
- U - Unsatisfactory - Fails to meet the standards of the District to a satisfactory degree.
- N/A - Not applicable or insufficient knowledge on which to evaluate.

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EVALUATION FORM

FOR

ADMINISTRATIVE AND SUPERVISORY PERSONNEL

Personal ResponsibilitiesImmediate
Supervisor Self

To what extent:

- _____ 1. Am I enthusiastic about my work?
- _____ 2. Do I attempt to use ideas gleaned from professional magazines and bulletins?
- _____ 3. Do I attend and contribute to professional meetings?
- _____ 4. Do I accept constructive criticism profitably?
- _____ 5. Do I accept administrative decisions and work enthusiastically toward achieving goals even though they may not conform to my personal opinions?
- _____ 6. Do I give full consideration to majority and minority opinion?
- _____ 7. Do I take advantage of opportunities for professional growth that are available beyond the requirements of the District?
- _____ 8. Do I show the initiative required of a person in my position?

COMMENTS:

Administrative and Professional Responsibilities

To what extent:

- _____ 9. Do I effectively delegate authority for the betterment of the school program?
- _____ 10. Do I organize my subordinates for maximum efficiency and effectiveness?
- _____ 11. Do I assume the leadership for the over-all morale of the building or department?

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Page 3

- _____ 12. Do I allow flexibility to guide my administration and relations with individuals, both teachers and students?
- _____ 13. Do I interpret and enforce the school/District policy in my area of responsibility?
- _____ 14. Do I help plan the staffs' professional growth program and encourage participation in in-service education programs?
- _____ 15. Do I count the activities of the classroom of primary importance to the school program?
- _____ 16. Do I fulfill the responsibility for administering attendance policies in the school?
- _____ 17. Do I fulfill the responsibility for the administration of the health and safety of students in the school?
- _____ 18. Do I provide assistance toward helping teachers improve?
- _____ 19. Am I receptive to new ideas?
- _____ 20. Do I involve teachers in the decision-making process where appropriate?
- _____ 21. Am I willing to make decisions which may be unpopular yet be best for the over-all program?
- _____ 22. Are my reports and proposals to my supervisors accurate, complete, and objective - the type that can be relied upon?
- _____ 23. Do I maintain adequate reports and records on students, and interpret them to the greatest extent of their value?
- _____ 24. Do I help new teachers to become a part of the school system and community?
- _____ 25. Do I communicate pertinent information to teachers and students?
- _____ 26. Do I accept the fact that my school or my particular field is a unit in the total school system, and that it cannot always receive the first consideration?
- _____ 27. Do I attempt to see the over-all or total picture?
- _____ 28. Am I punctual? (To my office, at meetings, with reports)
- _____ 29. Am I regular in attendance at meetings where my presence is expected?
- _____ 30. Am I willing to give my service beyond minimum requirements to school/District activities?

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- _____ 31. Am I willing to accept advice and suggestions from others?
- _____ 32. Do I evaluate teachers' methods of grading students?
- _____ 33. Do I systematically supervise and evaluate teacher utilization of teaching supplies and care of equipment and facilities?
- _____ 34. Do I abide by District policy and philosophy in my work and activities?
- _____ 35. Do I exert leadership and assist in developing philosophy, policy, and curriculum as my school or program operates within the framework of the District?
- _____ 36. Do I insure proper communication and articulation between the schools above and below mine?

COMMENTS:

Community Responsibilities

To what extent:

- _____ 37. Do I promote constructive relationships between the school/ District and the community?
- _____ 38. Do I constructively interpret the school program and the policies to the community when the occasion arises?
- _____ 39. Am I professionally ethical in all relationships?
- _____ 40. Do I encourage good professional ethics in others?
- _____ 41. Do I keep the community informed concerning the school program?

COMMENTS:

Management of Facilities

To what extent:

- _____ 42. Is my office neat and attractive?

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Page 5

- _____ 43. Does my office have a congenial and friendly atmosphere?
- _____ 44. Are my directives clear and well understood?
- _____ 45. Am I safety conscious about my facilities as I should be?
- _____ 46. Do I plan with the custodial staff for the efficient operation of the school plant?
- _____ 47. Do I effectively maintain my plant with the resources I have available?
- _____ 48. Do my buildings and grounds reflect a positive image?
- _____ 49. Do the maintenance and utility costs of my building compare favorably with like schools in the District?
- _____ 50. Do I encourage students to show school pride in their buildings and campus?
- _____ 51. Do I lead my school or office in economical use of materials and supplies?

COMMENTS:

Instructional Supervision

To what extent:

- _____ 52. Do I assist teachers in establishing meaningful goals, objectives, and concepts?
- _____ 53. Do I assist teachers in developing effective lesson preparations and do I regularly review their written lesson plans?
- _____ 54. Do I assist teachers in evaluating their methods and materials?
- _____ 55. Do I regularly visit classrooms?
- _____ 56. Do I plan with consultants and/or counselors for more effective teaching?
- _____ 57. Do I assist and encourage teachers to adjust their educational program to individual pupil needs and abilities?
- _____ 58. Do I assist teachers in using community resources in their instructional program?

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Page 6

- ___ 59. Do I assist teachers in providing a classroom atmosphere conducive to good learning situations?
- ___ 60. Do I assist teachers in developing satisfactory growth in basic skills for all pupils?
- ___ 61. Do I assist teachers in developing good skills and study habits for their pupils?
- ___ 62. Do I assist teachers in helping children to analyze and evaluate themselves and their growth?

COMMENTS:

Administrator and Student Relationships

To what extent:

- ___ 63. Do I encourage student leadership in activities such as class government and student council?
- ___ 64. Do I aid students in developing responsibility for their conduct?
- ___ 65. Do I try to have the students assume responsibility for the behavior of their peers and the neatness of their school?
- ___ 66. Do I encourage pupils to respect the rights, properties, and opinions of others?
- ___ 67. Do I understand and respect students as individuals?
- ___ 68. Do I encourage in students an appreciation for their civic rights and responsibilities of our democratic institutions?
- ___ 69. Do I encourage the development of student behavior based on a sense of moral and spiritual values?

COMMENTS:

Physical Traits

To what extent:

- ___ 70. Is my personal appearance neat and appropriate?

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- ____ 71. Do I speak clearly in a well-modulated voice?
- ____ 72. Do I use correct English?
- ____ 73. Do I attempt to correct personal habits and mannerisms which detract from effective leadership?

COMMENTS:

Emotional Traits

To what extent:

- ____ 74. Am I able to meet frustration without becoming hostile toward teachers, pupils, administrators, clerical personnel, and others?
- ____ 75. Do I show genuine respect, concern and warmth for others, and a sympathetic understanding of individual problems of both child and adult?
- ____ 76. Am I open-minded, happy, and tolerant in my outlook on life?
- ____ 77. Am I able to work effectively with others?
- ____ 78. Am I patient?

COMMENTS:

Staff Relationships

To what extent:

- ____ 79. Do I treat my staff with respect due other professionals?
- ____ 80. Does my staff feel free to approach me on any matters of concern?
- ____ 81. Do I praise in general and in particular those departments and staff members whose performance has been outstanding?
- ____ 82. Do I admonish privately those staff members whose performance is not acceptable?

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Page 8

- _____ 83. Do I use discretion and consideration in speaking of my school/District and colleagues?
- _____ 84. Do I try to protect teachers from burdensome non-professional tasks?
- _____ 85. Do I assume leadership in solving school/District problems when the opportunity presents itself?

COMMENTS:

SUMMARY:

How can the District provide you with a higher degree of support and leadership in your role?

_____ Date

_____ Signature

_____ Date

_____ Signature of Immediate Supervisor

Fairfield-Suisun Unified School District
Fairfield, California

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The "Professional Development Workbook" [106] was developed by a committee of teachers and administrators in order to implement the provisions of the Stull Act. The workbook provides administrators with definitions of six major areas of administrative responsibility, the specific criteria indicating success in each area, and the means of evaluating these criteria (See workbook pages 1 through 6, reproduced below). In turn, the administrator is requested to provide input on the questions listed on the lower half of each page. (Each page of questions is repeated on a separate worksheet, thus allowing greater space for response. Only one of these six worksheets is reproduced on page 64 of this section to illustrate the general work-

sheet form.) The workbook is completed by the administrator and submitted to his superior no later than the end of October. Should there be any question regarding the workbook, its contents are reviewed in conference.

The administrator is to be evaluated only on the criteria listed in the workbook unless additional criteria are mutually agreed upon by both the administrator and supervisor. Should either party request additional criteria, these must be established during the October conference.

The superior's final evaluation is recorded during April on the "Professional Development Report" (See workbook page 14, reproduced below). This evaluation is reviewed in conference with the administrator.

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Fairfield-Suisun Unified School District
PROFESSIONAL DEVELOPMENT WORKSHEET
ON-SITE ADMINISTRATORS**MOTIVATION**

The students shall seek satisfaction in success in the school program.

CRITERIA

1. Students shall achieve the Board-adopted objectives in each subject or skill area.
2. The staff is satisfied with the quality of administration.
3. Student morale is satisfactory.
4. Students, parents, and teachers accept the discipline system used in the school.

MEANS OF EVALUATION

- Tests and other measuring devices used in the school.
Record or referrals of students with problems to the proper departments or agencies.
Record of consultations with teachers regarding students who do not meet objectives.
- School staff survey.
- Parent/student survey.
Level of student participation in school activities; administrative observation.
- Surveys of staff, students, parents.
Record of discipline cases.
Record of discipline appeals to District Office, Board

(Evaluator's Input)

5. _____
6. _____
7. _____

The following information will appear on Form Apr-SB-15-72. (If more space is needed, use Form Apr-SB-27-72 available in the office.)

ADMINISTRATOR'S INPUT:

1. Are there any other criteria for the measurement of your success in motivation which you would like to have used in your case? If so, list them and indicate how they are to be evaluated; if there are none, write "none."
2. List the specific means which you use to motivate students (assemblies, prizes, etc.)
3. How do you plan to survey your staff and the students and parents of your school?
4. How do you deal with discipline cases which are referred to you by the staff?

EVALUATOR'S COMMENT:

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Fairfield-Suisun Unified School District
PROFESSIONAL DEVELOPMENT WORKSHEET
ON-SITE ADMINISTRATORS

PERSONAL RELATIONS

Inter-personal conflict is minimal, and when present, it is directed to issues rather than to personalities.

CRITERIA

MEANS OF EVALUATION

- | | |
|--|--|
| 1. The administrator is respected by those he directly supervises and those who directly supervise him. | Administrative observation.
Staff survey (within school). |
| 2. School staff believes that the administrator is sensitive to their needs and concerns. | School staff survey. |
| 3. School staff believes that it knows as much as it needs to know about school matters that concern it. | Existence of formal structure for two-way communication.
School staff survey. |
| 4. District Office staff believe that they are fully informed on school matters which concern them. | Administrative observation. |

(Evaluator's Input)

- | | |
|----------|-------|
| 5. _____ | _____ |
| 6. _____ | _____ |
| 7. _____ | _____ |

The following information will appear on Form Apr-SB-18-72. (If more space is needed, use Form Apr-SB-27-72 available in the office.)

ADMINISTRATOR'S INPUT:

1. What other criteria for the measurement of success in personal relations would you like to have used in your case? List them and indicate how they are to be measured; if there are none, write "none."

2. What is your formal structure for two-way communication with the staff in your school? If you have used it before, comment on the degree of success you have had with it.

EVALUATOR'S COMMENT:

Fairfield-Suisun Unified School District
PROFESSIONAL DEVELOPMENT WORKSHEET
ON-SITE ADMINISTRATORS

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DECISION-MAKING

Decisions are accepted as rational and equitable.

CRITERIA	MEANS OF EVALUATION
1. Decisions consistently reflect a knowledge of Board policy.	Absence of valid appeals. Administrative observation.
2. Decisions reflect self-confidence.	Significance of decisions referred to higher level for disposition.
3. Decisions reflect consideration of available data and the ramifications of the chosen and alternate courses.	Administrative observation. Record of problems arising from poor decisions.
4. Decisions are generally accepted by staff.	School staff survey.
5. Staff and students are involved in the decision-making process.	Existence of a formal structure for par
6. Responsibilities delegated to subordinates are successfully completed.	Administrative judgment on frequency with which objectives of projects delegated to subordinates are reached.
7. Staff selection results in student achievement. (Evaluator's Input)	Student achievement as measured by instruments normally used in the school.
8. _____	_____
9. _____	_____
10. _____	_____

The following information will appear on Form Apr-SB-21-72. (If more space is needed, use Form Apr-SB-27-72 available in the office.)

ADMINISTRATOR'S INPUT:

- Are there other criteria for success in decision-making by which you want your performance measured? If so, list them and the means by which they should be evaluated; if none, write "none."
- What is your formal structure for involving the staff and students in the decision-making process?
- List the qualities of teacher applicants which you feel are most indicative of future success as teachers: (Optional question)

EVALUATOR'S COMMENT:

Fairfield-Suisun Unified School District
PROFESSIONAL DEVELOPMENT WORKSHEET
ON-SITE ADMINISTRATORS

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LEADERSHIP

The administrator is seen as the key person in his school.

CRITERIA

MEANS OF EVALUATION

- | | |
|--|---|
| 1. Improvement in the curriculum reflect his participation. | Participation on committees.
School staff survey.
Existence in school of a well-defined structure for continuing evaluation of the instructional program
Administrative observation. |
| 2. School program makes use of all the resources of district. | Budget records, business office reports.
Curriculum Department reports.
Use of consultive services. |
| 3. Programs are efficiently organized. | Administrative observation.
School staff survey. |
| 4. Crisis are solved with a minimum of recurring problems. | Administrative observation and records. |
| 5. Building administrator is available to his staff for consultation. | Principal's records.
School staff survey.
Existence of structure for the provision of these services. |
| 6. The professional staff is kept informed on all matters which legitimately concern it. | School staff survey.
Administrative observation. |

(Evaluator's Input)

- | | |
|----------|-------|
| 7. _____ | _____ |
| 8. _____ | _____ |
| 9. _____ | _____ |

The following information will appear on Form Apr-SB-23-72. (If more space is needed, use Form Apr-SB-27-72 available in the office.)

ADMINISTRATOR'S INPUT

1. Are there any other criteria for the measurement of successful leadership which you wish to have applied in your case? If so, list them and the means by which they are to be evaluated; if there are none, write "none."
2. Describe the structures in your school for effecting improvement in curriculum change and for providing consulting services.
3. How do you plan to lead in curriculum improvement this year?
4. What would you do in your school if you had virtually unlimited resources? (Optional)

EVALUATOR'S COMMENT:

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Fairfield-Suisun Unified School District
PROFESSIONAL DEVELOPMENT WORKSHEET
ON-SITE ADMINISTRATORS

LEARNING ENVIRONMENT

An atmosphere conducive to the achievement of the objectives of the school system is maintained.

CRITERIA

MEANS OF EVALUATION

- | | |
|--|---|
| 1. The objectives of the duties and responsibilities assigned to the principal are achieved. | Administrative observation.
Reports of Directors. |
| 2. Staff are content with the level of administrative services within their building. | School staff survey. |
| 3. School facilities and equipment are maintained. | Record of referrals to the maintenance department.
Administrative observation of condition of facilities and equipment.
Record of losses from inventory. |
| 4. Students generally respond favorably to school standards. | Administrative observation of school atmosphere.
Principal's record of discipline cases.
Record of referrals on serious discipline cases. |
| 5. The school is well organized. | Administrative observation of results of certificated and classified assignments.
Administrative observation.
Student achievement of objectives (see above).
Administrative observation of success in delegation of responsibility.
Handling of discipline cases.
Effectiveness in use of staff assessment system. |
| 6. Extra duty assignments are completed without burden to a few of staff. | School staff survey.
Administrative judgment on success of activity program and other areas assigned.
Principal's records of assignment. |

(Evaluator's Input)

7. _____
8. _____
9. _____

The following information will appear on Form Apr-SB-24-72. (If more space is needed, use Form Apr-SB-27-72 available in the office.)

ADMINISTRATOR'S INPUT:

- Are there other criteria for the measurement of success in maintaining the learning environment which you would like to have applied in your situation? If so, list them and the means by which they are to be evaluated; if none, write "none."
- On what basis do you make specific staff assignments?
- How do your observations and evaluations of classified staff positively contribute to the care and upkeep of facilities and equipment?
- By what criteria will you judge your own success in maintaining a suitable learning environment?

EVALUATOR'S COMMENT:

Fairfield-Suisun Unified School District
PROFESSIONAL DEVELOPMENT WORKSHEET
On-Site Administrators

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PROFESSIONAL GROWTH

The school program reflects the results of current research.

CRITERIA

1. Experimentation and innovations in school program indicate a willingness to improve.
2. Staff are made aware of new ideas.
3. Program includes opportunities for inservice training of both administrator and staff.
4. Teacher assessment produces positive results.

MEANS OF EVALUATION

Reports made to Curriculum Department of changes made in your school.
Reports of experimental programs.
School staff survey.
Principals's records.
Inservice training session schedule.
Administrative review of assessment practices.
Student achievement.
School staff survey.

(Evaluator's Input)

5. _____
6. _____
7. _____

The following information will appear on Form Apr-SB-25-72. (If more space is needed, use Form Apr-SB-27-72 available in the office.)

ADMINISTRATOR'S INPUT:

1. Are there other criteria for success in professional growth that you wish to have applied to you? If so, list them and the means by which they are to be evaluated; if none, write "none."
2. What inservice programs have you planned for your staff this year?
3. In what inservice training activities do you plan to participate?
4. How and to what extent do you feel that you benefit from the meetings you are required to attend? (Optional)
5. What professional activities, achievements, or recognition or community participation do you want included in your personnel record?

EVALUATOR'S COMMENT:

FAIRFIELD-SUISUN UNIFIED SCHOOL DISTRICT
PROFESSIONAL DEVELOPMENT REPORT
ON-SITE ADMINISTRATORS

SAMPLE

Name _____ School _____ Year _____
Experience: _____ years Status: _____

I. SURVEY OF ATTRIBUTES: (Check appropriate column)		Satisfactory	Needs Improvement
1. Student Achievement	_____	_____	_____
2. Student Control	_____	_____	_____
3. Learning Environment	_____	_____	_____
4. Personal Relations	_____	_____	_____
5. Professional Growth	_____	_____	_____
6. Ability to Make Judgements	_____	_____	_____
7. Ability to Make Decisions	_____	_____	_____
8. Innovation	_____	_____	_____
9. Leadership	_____	_____	_____
10. Attention to Routine	_____	_____	_____
11. Community Participation	_____	_____	_____
12. Other	_____	_____	_____

II. STRONGEST ASSETS:

III. AREAS IN WHICH IMPROVEMENT IS NEEDED: (Comments necessary if "Needs Improvement" column is checked)

IV. IS THE NEED FOR IMPROVEMENT OF SUFFICIENT MAGNITUDE TO EFFECT CONTINUATION OF PRESENT ASSIGNMENT?

V. ADMINISTRATOR OR EVALUATOR'S COMMENTS:

- 14 -

Administrator's Signature: _____ Date: _____

Evaluator's Signature: _____ Title: _____ Date: _____

Reviewed by: _____ Title: _____ Date: _____

(Name)	(School)	(Year)
FAIRFIELD-SUISUN UNIFIED SCHOOL DISTRICT		
ON-SITE ADMINISTRATORS' PROFESSIONAL DEVELOPMENT:		MOTIVATION
ADMINISTRATOR'S INPUT: The administrator will answer these questions: (<i>If more space is needed, use Form Apr-SB-27-72</i>)		
1. Are there any other criteria for the measurement of your success in motivation which you would like to have used in your case? If so, list them and indicate how they are to be evaluated; if there are none, write "none."		
2. List the specific means which you use to motivate students (assemblies, prizes, etc.)		
3. How do you plan to survey your staff and the students and parents of your school?		
4. How do you deal with discipline cases which are referred to you by the staff?		
EVALUATOR'S COMMENT:		

Apr-SB-15-72 (Rev. 9/73) Signature: _____ Date: _____

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Tulsa Public Schools
Tulsa, Oklahoma

The Tulsa Public School System also evaluates administrators by task areas, but utilizes an appraisal technique referred to as the "on-site visitation" [105:1]. Principals are evaluated during the first year in a new position and every third year thereafter. Each principal scheduled for evaluation is notified in writing at least thirteen days in advance of the scheduled on-site visitation. In order to prepare for the visitation, the principal is advised to: (1) rehearse by evaluating himself on the "Principal's Performance Appraisal Record" form (reproduced on pages 67 and 68) and (2) to develop supportive exhibits related to various items of the form and make these available on the visitation day. The following are examples of supportive materials:

- Administrative Skills: Samples of duty roster, extra-curricular assignments, minutes of meetings of student activity fund board of control, maintenance reports, teacher evaluation records, pupils' attendance and cumulative records, and statement(s) of policies followed in his building.
- Instructional Leadership Skills: A brief narration of his recent efforts to improve instruction, such as in-service with faculty, scheduling practices, utilization of appropriate instructional materials, or innovations in the use of media. A statement of instructional objectives, together with plans for evaluation.
- Communication and Interpersonal Skills: Copies of daily bulletins or bulletins sent to staff and parents. Copies of staff meeting agendas. A description of how he facilitates communication, such as faculty, student or parent committees, advisory councils, planning period faculty meetings, student forums or assemblies.
- Personal Qualities: A brief written statement of his efforts to improve the program in his school and of his own professional growth activities.
- Community Relations: A brief written statement by the principal listing his efforts to improve

school community relations showing specific speaking engagements, membership in civic and community organizations, parent meetings held, neighborhood coffees held, efforts to encourage staff members to support community affairs, etc. [105:2]

The on-site visitation is conducted by the Administrative Director (who is also responsible for the final evaluation) and by an optional team of administrative personnel that functions in an advisory capacity. Although the evaluation team is selected by the Administrative Director, the evaluatee may request the inclusion of other school principals.

Also participating in the visitation are: (1) a group of six elected P.T.A. officers and other patrons invited by the principal, and (2) a committee of eight teachers selected by a carefully supervised lottery system. The teacher committee provides the visiting team with a representative faculty appraisal of the principal's performance. Although the teacher committee's comments and opinions are kept anonymous, the visiting team has the responsibility of discussing with the administrator the areas of teacher concern.

The suggested visitation schedules for elementary and secondary principals are:

Suggested Schedule for On-Site Visitation

8:00- 8:30	Orientation by principal
8:30-10:30	Observe classes and activities and talk with teachers, counselors, students and classified personnel
10:30-11:30	Coffee and visitation with invited parents
11:30- 1:00	Lunch in cafeteria, at which time pupils and staff members are encouraged to visit informally with the visiting team
1:00- 2:00	Further observation
2:00- 3:30	Study and discuss exhibits with principal

3:30- 4:00 Meet with faculty committee

4:00- 4:30 Report to the principal a
summary of observations
and recommendations.

Soon after the on-site visitation, the Director completes the "Principal Performance Appraisal Record," schedules a conference with the principal to discuss the report, and secures the principal's signature. Should the principal request a review of the Director's appraisal, a committee consisting of three or more members of the Superintendent's staff will reassess the principal's administrative effectiveness and sub-

mit their recommendations to the Superintendent. For each unsatisfactory rating, the principal and the Director jointly establish performance objectives and complete the "Principal's Job Targets Report." Thus, it is only for unsatisfactory performance that the job targets or performance objectives approach is utilized, in contrast to school systems that use this approach to hold all administrators accountable.

The "Principal's Performance Appraisal Record" and the "Principal's Job Targets Report" are reproduced on the following pages.

Tulsa Public Schools
PRINCIPAL'S PERFORMANCE APPRAISAL RECORD

PRINCIPAL'S NAME _____ SCHOOL _____

YEARS IN THE TULSA PUBLIC SCHOOLS _____ YEARS AS A PRINCIPAL IN TULSA _____ YEARS AS PRINCIPAL IN THIS SCHOOL _____

DATE OF ON-SITE VISITATION _____, 19____

Place a check in one of the three columns at the right. Prepare in duplicate. Signatures required by Administrative Director and Principal. ORIGINAL COPY to Principal. CARBON COPY to Principal's Personnel File.

I. ADMINISTRATIVE SKILLS

	SATISFACTORY	NEEDS TO IMPROVE	UNSATISFACTORY
A. <i>Organization:</i> clearly delineates responsibilities and authority; establishes direct lines of communication; schedules teachers efficiently; adequately supervises nonteaching personnel			
B. <i>Business affairs:</i> maintains accurate personnel, pupil, and financial records; provides administrative information as needed			
C. <i>Staff selection:</i> works to assure that a strong staff is selected; cooperates with Personnel Department in securing replacements			
D. <i>Teacher evaluation:</i> works to improve classroom instruction by frequent observation and conferences; renders fair appraisal of teachers			
E. <i>Decision making:</i> is professional in working with teachers and, when appropriate, involves them in making decisions			
F. <i>Student control:</i> practices preventive discipline by means of open communication with parents and students; policies and practices are reasonable, conducive to learning, and uniformly enforced			

COMMENTS:

II. INSTRUCTIONAL LEADERSHIP SKILLS

	SATISFACTORY	NEEDS TO IMPROVE	UNSATISFACTORY
A. <i>Knowledge of curriculum:</i> demonstrates knowledge of curricula; issues in various subject fields; shows a balanced concern for all departments			
B. <i>Instructional improvement:</i> is familiar with good teaching methods; assists teachers to improve diagnostic and teaching procedures			
C. <i>Faculty meetings:</i> organizes periodic small-group and/or total faculty meetings which are effective in clarifying problems and policies and providing professional guidance to teachers			
D. <i>Adaptability:</i> cultivates among the faculty an interest in and awareness of new teaching techniques and curricular areas			
E. <i>Rapport:</i> secures the cooperation of the faculty and the community in achieving the goals of the schools			
F. <i>Achieving objectives:</i> strives to clarify the objectives of the school and accomplishes significant improvement each year			
G. <i>Evaluation:</i> systematically evaluates the instructional program; uses results in work with faculty to plan program improvements			

COMMENTS:

III. COMMUNICATION AND INTERPERSONAL SKILLS

	SATISFACTORY	NEEDS TO IMPROVE	UNSATISFACTORY
A. <i>Faculty:</i> demonstrates concern for teacher problems and encourages open discussion of issues			
B. <i>Parents:</i> seeks to know the parents, to interpret the school's program to them, and to cooperate in worthwhile parent programs			
C. <i>Students:</i> strives to understand students, considers any reasonable request, communicates to students the reasons for school policies			
D. <i>Community involvement:</i> participates in various civic, service, and community groups to help assure their knowledge of the school program			
E. <i>Morale:</i> develops high staff morale; operates in a democratic manner; encourages excellence in staff performance through constructive suggestion; commends achievements of staff members			
F. <i>Support:</i> protects teachers from unreasonable demands of parents; respects the professional judgment of teachers			

COMMENTS:

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	SATISFACTORY	NEEDS TO IMPROVE	UNSATISFACTORY*
IV. PERSONAL QUALITIES			
A. <i>Appearance:</i> appearance and demeanor set an appropriate example for teachers and pupils			
B. <i>Initiative:</i> shows sustained effort and enthusiasm in the quality and quantity of work accomplished			
C. <i>Communication skills:</i> communicates effectively in front of group; speaks distinctly; uses standard oral and written English			
D. <i>Professional growth:</i> continues professional study; attends professional meetings regularly; reads current professional literature			

COMMENTS:

V. RECOMMENDATIONS

Is this Principal recommended to continue in his present assignment?

YES ☐NO ☐

GENERAL RECOMMENDATIONS:

DEFINITIONS OF EVALUATIVE TERMS:1. *Satisfactory.* Meets standards expected of a principal.2. *Needs to Improve.* Meets only minimum standards expected.3. *Unsatisfactory.* Fails to meet minimum standards.

* Any "Unsatisfactory" rating requires that the Administrative Director (a) justify the rating by written comment, and (b) complete the "Principal's Job Targets Report" specifying how the principal can work to overcome the deficiency. "Needs to Improve" ratings will be discussed in conference with the Principal.

Signature of Administrative Director_____
Date_____
Signature of Principal_____
Date

Principal is to check ONE of the statements below:

_____ I accept the above appraisal of my performance.

_____ I request that the Superintendent appoint a Review Committee to restudy this appraisal of my performance.

COMMENTS:

TULSA PUBLIC SCHOOLS
PRINCIPAL'S JOB TARGETS REPORT

PRINCIPAL'S NAME _____ SCHOOL _____

Years in the
Tulsa Public Schools _____Years as a
principal in Tulsa _____Years as principal
in this school _____

Date of on-site visitation _____ 19 _____

Prepare in duplicate (signatures required)

Original copy to Principal

Carbon copy to Principal's Personnel File

Previous Job Targets:

Is a previous Job Targets Report available for this principal?

☐
Yes☐
No

If yes, what was the date of the last report? _____

Administrative Director's assessment of the extent to which earlier job targets have been achieved:

Future Job Targets:_____
Signature of Administrative Director*_____
Date_____
Signature of Principal*_____
Date

* Signatures indicate agreement that these represent objectives which the principal can be reasonably expected to achieve during the next appraisal period.

Highland Public Schools
Highland, Indiana

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Highland school administrators are evaluated in terms of performance in major areas of responsibility. Eight task areas are defined, but specific criteria of effectiveness are not dictated as in the Fairfield-Suisun Unified School District. Rather, "Indicators of Effectiveness," or descriptions of exemplary administrative performance, are suggested for each task area [38:14-35]. Since these descriptions cover all levels of administrators, the individual administrator must decide which ones are appropriate indicators for him, based upon the individual role description that he is directed to develop from his formal job description. "The exact nature of an administrator's performance in relation to a given indicator depends upon his particular administrative assignment and his perception of his role" [38:6].

The administrator then identifies specific areas in which to improve his skill or knowledge, desired terminal performance, activities that will enable him to reach the described terminal

performance, and a system for monitoring his progress toward the objectives (administrators are encouraged to collect data regarding their performance from their subordinates). "Job performance objectives written by administrators generally can be classified into one of the three following categories: (1) Regular or routine objectives, (2) Problem-solving objectives, or (3) Innovative or improvement objectives." Highland's hierarchy of objectives places the greatest premium on improvement, then problem-solving, and lastly routine objectives.

Administrative performance is assessed in terms of the formal job description, the indicators of effectiveness that the administrator has identified with his role, and the stated self-improvement objectives. The administrator's immediate superior and one or more appraisees selected by the administrator serve as the Appraisal Team [38:36].

The following time schedule [38:4] and instruments [38:44-53] are utilized in the evaluation procedure.

ASSESSMENT STEPS AND TIME SCHEDULE

Dates	Action To Be Taken
Between Feb. 1 & April 1	(1) The appraisee selects the additional members of his Appraisal Team in cooperation with his immediate superior and files the names of the Appraisal Team members with the Personnel Office. (2) The immediate superior provides the necessary assistance and forms for completing the self-assessment instrument. (3) The appraisee reviews his job description in the Board of School Trustees Policy Handbook. (4) The appraisee compares his formal job description with the described indicators of administrative effectiveness for each of the eight task areas and develops a role description of his specific responsibilities. (5) The appraisee designs his self-development objectives in relation to the descriptions of administrative performance described in Section II.
Between March 1 & April 1	(1) The appraisee completes his self-assessment instrument. (2) The appraisee and his Appraisal Team schedule a single or series of planning conference(s) for the purpose of jointly setting objectives for the appraisee. (3) The appraisee and his Appraisal Team agree on specific self-development objectives or performance targets for the appraisee within the eight categories suggested. They indicate means for measuring the extent that each objective is achieved. (4) The appraisee files copies of the completed self-assessment instrument with his immediate superior, his selected Appraisal Team members and the Personnel Office.
Between April 1 & Feb. 1	(1) Regular supervisory and administrative contacts are carried out. (2) It is the responsibility of the immediate superior to initiate the team or individual conferences with the appraisee. (3) Team conferences between the appraisee and his Appraisal Team or between the appraisee and his immediate superior are scheduled as needed for the purpose of providing assistance to the appraisee as well as to assess his progress in accomplishing his stated objectives.
Between Feb. 1 & April 1	(1) The appraisee and Appraisal Team or the appraisee and his immediate superior meet to review to what extent the appraisee has met his stated self-development objectives. (2) The Appraisal Team and the appraisee or the immediate superior and the appraisee consider appropriate future professional growth plans for the appraisee.

ASSESSMENT STEPS AND TIME SCHEDULE (Cont'd)

By May 1

- (1) A Summary Report of Appraisal (IV, B) for each appraisee is to be completed and filed in the Personnel Office by the immediate superior. A copy of this Summary Report is prepared for the appraisee, the Appraisal Team members, immediate superior and the Personnel Office.
 - (2) A Summary Report of Overall Appraisal (IV, C) for each appraisee is to be completed and filed in the Personnel Office by the immediate superior. A copy of this Summary Report is prepared for the appraisee, the immediate superior, the Superintendent of Schools and the Personnel Office.
-

Between Feb. 1 &
April 1

- (1) The appraisal process for the next assessment time period begins for each appraisee.
-

IV, A.
PROGRAM FOR EDUCATIONAL LEADERSHIP
School Town of Highland
Highland, Indiana

NAME	ADMINISTRATIVE POSITION	YEAR	ADMINISTRATIVE TASK AREA	IMPROVEMENT GOAL (State only Generally)	SELF-DEVELOPMENT OBJECTIVE(S) WHICH WOULD BRING ABOUT IMPROVEMENT	MEANS BY WHICH SPECIFIC OBJECTIVES WILL BE ACHIEVED (Activities, Per- sonnel, Material)	METHODS FOR MEASUR- ING ACHIEVEMENT (How Achievement will be known)
			CURRICULUM AND INSTRUCTION				
			STAFF PERSONNEL				
			PUPIL PERSONNEL				
			FINANCE AND BUSINESS MANAGEMENT				
			SCHOOL BUILDINGS AND EQUIPMENT				
			SCHOOL-COMMUNITY RELATIONS				
			PROFESSIONAL GROWTH				

PROGRAM FOR EDUCATIONAL LEADERSHIP (Cont'd)

ADMINISTRATIVE TASK AREA	IMPROVEMENT GOAL (State only Generally)	SELF-DEVELOPMENT OBJECTIVE(S) WHICH WOULD BRING ABOUT IMPROVEMENT	MEANS BY WHICH SPECIFIC OBJECTIVES WILL BE ACHIEVED (Activities, Per- sonnel, Material)	METHODS FOR MEASUR- ING ACHIEVEMENT (How Achievement will be known)
SUPPORTING SERVICES				

Administrator's Signature

Date

DATE

IMMEDIATE SUPERIOR'S COMMENT AND SIGNATURE

DATE _____ APPRAISAL TEAM MEMBER'S COMMENT AND SIGNATURE _____		DATE _____ OTHER COMMENTS (Superintendent, Assistant Superintendent, Director) _____	
--	--	--	--

IV. B.

SUMMARY REPORT OF APPRAISAL

Name of Administrator _____

Administrative Position _____ Year _____

- I. Evaluation of Achievement of Specific Objectives: (Describe specific evidence of attainment)

(Blank space has been omitted)

- II. Record of Conference (Dates, Activities, Help Rendered):

(Blank space has been omitted)

- III. Goals and Objectives Recommended to the Appraisee For The Next Year By The Appraisal Team:

(Blank space has been omitted)

- IV. Comment by Appraisee:

(Blank space has been omitted)

- V. Signatures (Signature indicates completion of appraisal, not necessarily agreement with the appraisal):

Appraisee _____

Immediate Superior _____

Member of Appraisal Team _____

Date _____

IV, C.

SUMMARY REPORT OF OVERALL APPRAISAL

- I. Recommendation by Immediate Superior for Further Action: (Include a summary evaluation of the appraisee's overall administrative performance in relation to the descriptions of administrative performance described in Section II and his formal job description.)

(Blank space has been omitted)

- II. Comments by Appraisee:

(Blank space has been omitted)

- III. Signatures (Signature indicates appraisee has read this report, not necessarily agreement with appraisal)

Appraisee _____

Immediate Superior _____

Date _____

- IV. Action Recommended or Taken by Superintendent:

(Blank space has been omitted)

Signature _____

Date _____

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Salt Lake City School District
Salt Lake City, Utah

School administrators in the Salt Lake City School District are evaluated in terms of their achievement of self-defined goals that are reviewed and agreed upon by their superior. Priority goals for each school are developed through the participation of faculty, students,

and parents as well as administrators. Individual goals then are derived from the school unit goals. The worksheets related to performance goals [37:3-7] and the "Monitoring Report Form" [37:8] are reproduced below.

PART II

CRITICAL NEEDS (PRIORITY GOALS) OF
THE LOCAL UNIT (SCHOOL, DEPARTMENT, ...)

These critical concerns have been identified through the involvement of administrators, faculty, students, parents and others of the local unit.

(Blank space has been omitted)

Adopted by the Local Unit for the school year _____.

EMPLOYEE'S CONTRIBUTION

A. GOALS I HAVE SELECTED WITH WHICH I CAN MAKE A CONTRIBUTION

The following are goals I feel are acceptable and relevant to my assignment:

(Blank space has been omitted)

Review your goals with your supervisor before proceeding.

The above goals have been reviewed and agreed upon.

Supervisor

Employee

EMPLOYEE'S CONTRIBUTION (continued)

B. STANDARDS OF PERFORMANCE I EXPECT TO ACHIEVE WITH EACH SELECTED GOAL

I have considered the support services (supplies, equipment, class size, class composition, . . .) necessary to reach my performance standards. The following are levels of performance I expect to achieve:

(Blank space has been omitted)

Review your expectations with your supervisor before proceeding.

The above expectations have been reviewed and agreed upon.

Supervisor

Employee

EMPLOYEE'S CONTRIBUTION (continued)

C. METHODS, PROCEDURES, AND TECHNIQUES I WILL USE TO ACHIEVE MY STANDARDS OF PERFORMANCE WITH EACH GOAL

(Blank space has been omitted)

Review your methods, procedures, and techniques with your supervisor before proceeding.

The above methods, . . . , have been reviewed and agreed upon.

Supervisor

Employee

EMPLOYEE'S CONTRIBUTION (continued)

D. ASSESSMENT TECHNIQUES I WILL USE TO DEMONSTRATE ATTAINMENT OF
STANDARDS OF PERFORMANCE EXPECTED WITH EACH GOAL

Review your assessment techniques with your supervisor before proceeding.

The above assessment techniques have been reviewed and agreed upon.

Supervisor

Employee

MONITORING REPORT FORM

Periodically I have drawn conclusions regarding the adequacy and effectiveness of my plan. I have made modifications where necessary. I have taken into consideration the following: student achievement, learning environment, and methods of teaching.

Goals	List Dates Reviewed w/Supervisor	Comments
1.		<u>Employee's:</u>
		<u>Supervisor's:</u>
2.		<u>Employee's:</u>
		<u>Supervisor's:</u>
3.		<u>Employee's:</u>
		<u>Supervisor's:</u>
4.		<u>Employee's:</u>
		<u>Supervisor's:</u>

Providence Public Schools
Providence, Rhode Island

The administrative evaluation process in the Providence Public Schools concentrates almost exclusively on the establishment and accomplishment of performance objectives. Several features of the process are of special interest: (1) the use of an appraisal team, (2) the appraisee evaluation of supportive services and overall systems, and (3) the appraiser's evaluation of administrative goal appropriateness and role clarity.

The appraisal team consists of:

1. The appraisee's immediate superior,
2. An administrator from the Providence School Department Table of Organization, excluding the Business Division, selected by the appraisee; and
3. An administrator, excluding the Business Division, selected by the superintendent [53:11].

The administrator to be evaluated meets with the appraisal team by mid-October in order to establish performance objectives and means of measuring attainment of objectives. At least

one week prior to this meeting, the administrator completes and presents to team members the "Administrative Performance Objectives Form" [53:15] and the "Scope of Responsibility" form [53:6]. "Appraisal Summary Form I" [53:20] is completed by the appraisal team following the meeting.

A second conference is conducted by February and the "Appraisal Summary Form II" [53:21] is completed. Before that date, conferences are held between the appraisers and the administrator as needed for the revision or modification of the original performance objectives, the adjustment of evaluative procedures, or the mutual assessment of performance.

A formal evaluation conference is held by mid-May, at which time "Appraisal Summary Form III" [53:22] is completed. Should the administrator disagree with the evaluation as submitted on the summary form, he may request a conference with the superintendent to review the matter.

The evaluation instruments are presented on pages 84 through 89.

III. The Instrument

Name _____ Position _____ Location _____

Appraisal Period _____ Date of Evaluation _____

INSTRUCTIONS:

This evaluation instrument is in three sections:

Part A - Administrative Performance Objective Form

Part B - Appraisee's Completion Form

Part C - Appraisal Summary Form

To Appraisee: Prior to meeting with your appraisal team, prepare major goals and specific objectives utilizing the attached form. These goals/objectives should be related to school, departmental, divisional and system goals and should reflect your areas of responsibility.

Also complete the evaluation procedures column on the form as well as the activities column, where possible.

A copy of the above should be sent to each member of your appraisal team at least one week in advance of the team's first meeting.

To Appraiser: After receiving the appraisee's administrative performance objectives form, arrange an appointment for an appraisal team meeting with the appraisee in order to discuss and negotiate objectives and related evaluation.

Subsequent appraisal team meetings, i.e., sessions 2 and 3, are to be arranged similarly.

At the conclusion of each appraisal session, i.e., 1, 2, and 3, the appropriate section on the appraisal summary form is to be completed.

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Part A. Administrative Performance Objectives Form

Major Goal

SPECIFIC OBJECTIVE(S)	ACTIVITIES TO ATTAIN OBJECTIVE(S)	EVALUATION PROCEDURES AS RELATED TO ATTAINMENT OF OBJECTIVE(S)	DATE OF ATTAINMENT OF OBJECTIVE(S)	EXTENUATING CIRCUMSTANCES PROHIBITING FULL REALIZATION OF OBJECTIVE(S)
(Blank space has been omitted)				

Part B - APPRAISEE'S COMPLETION FORM

Please complete the following:

1. State significant accomplishments as related to your job functioning during the _____ school year.
(Blank space has been omitted)
2. Describe the greatest areas of frustration as related to your job functioning during the _____ school year.
(Blank space has been omitted)
3. In what ways could the services represented by the following divisions be improved as related to your role functioning?

<u>Planning</u>	<u>Implementation</u>	<u>Staff Training & Development</u>	<u>Business Management</u>
(Blank space has been omitted)			

4. Rate the overall system in the following areas as related to your role functioning using the scale below:

AREA	1	2	3	4	5	COMMENTS
Goal Appropriateness						
Communication Adequacy						
Decision Making						
Role Clarity						
Describe any additional area(s) you feel merit consideration in this section						

1. Superior
2. Above Average
3. Average
4. Below Average
5. Problem Area

5. In those areas you rated 4 or 5, state:

a. why you think they are problem areas -

b. what you have done or are attempting to do to correct these problems -

c. who has been and/or could be of assistance to you -

PART C. APPRAISAL SUMMARY FORM

To appraisal team: Please complete the following appraisal summary form, i.e., I in October, II in February, and III in May. Comment in the appropriate areas after a consensus is reached.

APPRAISAL SUMMARY FORM

I

Session #1, to be completed by October 15th.

(1) Clarity of role definition

(2) Appropriateness of specific responsibilities

(3) Goals/Objectives

Realistic

Attainable

Measurable

Reasonable in No.

Consistent with
system's hierarchy
of goals

(4) Evaluation Procedures

Appropriate

Valid

Appraisers' Signatures

Date

Date

Date

Appraisee's Signature

Date

APPRAISAL SUMMARY FORMIISession #2, to be completed by February 1st.

Goals/Objectives

- (1) Describe interim level and interim degree of attainment of objective(s).
(Blank space has been omitted)
- (2) Analysis of interim level and interim degree of attainment of objective(s).
(Blank space has been omitted)
- (3) Modification of objective(s) and/or evaluation procedures, if necessary. (Make appropriate modifications on Part A).
(Blank space has been omitted)

Appraisers' Signatures _____ Date _____

_____ Date _____

_____ Date _____

Appraisee's Signature _____ Date _____

APPRAISAL SUMMARY FORMIIISession #3, to be completed by May 15th.

Goals/Objectives

- (1) Describe level and degree of attainment of objective(s).
(Blank space has been omitted)
- (2) Analysis of level and degree of attainment of objective(s).
(Blank space has been omitted)
- (3) Summary
(Blank space has been omitted)
- (4) Recommendations
(Blank space has been omitted)

Appraisers' Signatures _____ Date _____

_____ Date _____

_____ Date _____

Appraisee's Signature _____ Date _____

Akron Public Schools, Akron, Ohio, and
Gaston County Schools, Gastonia, North Carolina

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Multi-technique evaluation procedures are utilized by the Akron Public Schools and the Gaston County Schools in assessing a school administrator's overall performance and his success in meeting designated "job targets" [104:7]. The greater part of the evaluation procedures and forms are the same in both school systems. (See Forms I and 2). Both systems evaluation processes are presented in order to illustrate the different combinations of evaluation techniques that can be implemented.

During the early summer in the Gaston County Schools, or in early fall in the Akron Public Schools, each administrator to be evaluated develops a description of the broad areas of his responsibility as he perceives them. The evaluator provides his reactions and suggestions to approach a clarification of the administrator's role. "Job targets" are mutually established from the broad areas of responsibility. The immediate supervisor has the major responsibility to guide and assess the appropriateness and significance of the individual administrator's defined tasks and professional development activities in terms of the school system's goals and objectives.

The activities directed toward the "job targets" are monitored and assessed periodically. In the Akron Public Schools, a "reviewer" [104:6] confers with the evaluator regarding the appropriateness of the job expectations and targets, reviews the

evaluator's appraisal of the administrator's performance, and generally assists the evaluator in making a valid appraisal.

Around mid-year, the Akron or Gaston County administrator evaluates his performance in fulfilling his major areas of responsibility and job targets. After completing Section I of Forms I and II, the administrator forwards the forms to his appraiser who completes Section 2 on both forms. In the Akron Public Schools, the evaluator confers with his reviewer, and the two agree on final evaluations. In both school systems, a conference is scheduled between the evaluator and the administrator, and differences in appraisals are discussed, the appraisal forms are signed, and copies are given to the appraisee.

Akron's evaluation procedures are supplemented by Form III (reproduced on page 94) which is also an appraisal of general administrative performance and is also discussed in conference.

Gaston County Schools supplements Forms I and II with a different Form III. (Its reproduction appears after the common Forms I and II and the Akron Form III.) In addition, Gaston administrators and evaluators complete and discuss a checklist form that is almost identical to the North East Independent School District form already presented.

The Akron evaluation schedule and the Akron and the Gaston County forms follow.

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PROCEDURES AND TIME SEQUENCE FOR APPRAISAL

DATES	PROCEDURES
August 15 - September 15	a. Notifications are sent to appraisees, evaluators and reviewers of appraisal assignments for the year.
September 15 - September 30	a. Meeting of appraisees, evaluators and reviewers for a consideration of role definition and procedures.
October 1 - October 15	a. Appraiser identifies major areas of his duties and responsibilities. (Form I) b. Appraiser identifies "job targets". (Form II) c. Appraiser submits Forms I and II to Evaluator for approval.
October 15 - November 15	a. Evaluator schedules personal conference with Appraiser to clear the suitability of "job targets". Job responsibilities are also reviewed and discussed. Upon consensus of appraiser and evaluator, Forms I and II are signed.
November 15 - March 15	a. Intermittent meetings of appraiser and evaluator to review the course of managerial responsibilities and progress toward job targets.
March 15 - April 1	a. Appraiser completes self-appraisal and sends the forms to the Evaluator. (Forms I and II, Section I)
April 1 - April 15	a. Evaluator confers with his Reviewer, explaining and indicating his reasons for the tentative evaluations he contemplates recording. Reviewer and Evaluator agree upon final evaluations. (Forms I, II and III)
April 15 - May 15	a. Evaluator holds conference with all his appraisees. Appraisal forms (Forms I, II and III) are signed and a copy given to the Appraiser.
June 15 - June 30	a. All appraisals are completed; Forms I, II and III are filed in the Office of Professional Personnel.

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AKRON (Continued)

Revised 8/73

AKRON PUBLIC SCHOOLS

Division of Personnel and Pupil Services

FORM I

EVALUATION KEY	
1	Exceeds job responsibility
2	Completes job responsibility
3	Partial completion of job responsibility
4	Fails to complete job responsibility

ADMINISTRATIVE APPRAISALScope of Position - Major Areas of Responsibility

Section I - for appraisee Section II - for evaluator

MAJOR RESPONSIBILITIES List in topical form; elaboration not required	% of Time	Section I - for appraisee				Section II - for evaluator				
		1	2	3	4	1	2	3	4	
COMMENTS Should accompany marks of 1 or 4; may relate to any matter										

Signature of Appraisee

Oct. _____, 197_____

Signature of Evaluator

Oct. _____, 197_____

Signature of Appraisee

May _____, 197_____

Signature of Evaluator

May _____, 197_____

Revised 8/73

AKRON PUBLIC SCHOOLS

Division of Personnel and Pupil Services

FORM II

EVALUATION KEY	
1	Exceeds job target
2	Met job target
3	Partial completion of job target
4	Failed to meet job target

ADMINISTRATIVE APPRAISALJob Targets for Administrative/Supervisory Personnel

Section I - for appraisee Section II - for evaluator

JOB TARGETS List in typical form; elaboration not required	1	2	3	4	1	2	3	4
COMMENTS Should accompany marks of 1 or 4; may relate to any matter								

Signature of Appraisee

Oct. _____, 197____

Signature of Evaluator

Oct. _____, 197____

Signature of Appraisee

May _____, 197____

Signature of Evaluator

May _____, 197____

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AKRON (Continued)

Revised 8/73

AKRON PUBLIC SCHOOLS

Division of Personnel and Pupil Services

FORM III

KEY

1 - Excellent 3 - Good
2 - Very Good 4 - Fair

SUMMARY APPRAISAL OF PERFORMANCE FOR ADMINISTRATIVE/SUPERVISORY PERSONNEL

NAME _____ DATE _____

ASSIGNMENT _____ LOCATION _____

APPRAISAL PERIOD: From _____ through _____

NAME OF EVALUATOR _____ POSITION _____

	1	2	3	4	Comments
I PERSONAL CHARACTERISTICS					
Appearance					
Speech & Voice					
Health & Vitality					
Emotional Stability					
II LEADERSHIP CHARACTERISTICS					
(Willingness to make decisions and accept responsibility; Forcefulness; Ability to effect desirable changes)					
III PROFESSIONAL KNOWLEDGE & UNDERSTANDING					
(Extent of information and knowledge needed to function as an educational leader)					
IV ENTHUSIASM AND INITIATIVE					
V SUCCESS IN PROBLEM SOLVING					
(Judgment, logical thinking, creativity, imagination)					
VI SUCCESS IN ADMINISTRATION					
(Planning, organizing, communicating, influencing)					
VII SUCCESS IN SUPERVISION					
(Evaluating and improving teaching; developing a strong instructional program)					
VIII ABILITY TO BUILD MORALE					
(Democratic in interpersonal relationships; listens to other points of view)					
IX RELATIONS WITH COLLEAGUES					
X RELATIONS WITH SCHOOL COMMUNITY					
XI ATTENTION TO DETAIL AND ROUTINE					

Areas of Strength	SUMMARY OF EVALUATION	
	Areas in need of Improvement	Summary Comments

Signature of Appraisee _____ Date _____

Signature of Evaluator _____ Date _____

Form 3

1. What are the highlights of your job performance during the past year? (Special studies, projects, experiments, individual contributions, distinctions, and innovations.)

2. What factors have inhibited the attainment of your objectives? Why?

3. List conferences attended, courses taken, studies made, etc. as part of the program for your own professional growth.

4. List below those duties and responsibilities to which you feel you should give more concerted attention during the coming year.

5. What major strategy changes do you anticipate for the coming year?

GENERAL EVALUATION

Evaluation code: Use the number that best describes extent of achievement, blending both quantitative and qualitative aspects.

Low High
1 2 3 4 5

Performance Factors		Appraisee	Evaluator
1. Knowledge	Extent of information and knowledge needed to function as an educational leader.	()	()
2. Planning	Degree to which careful planning is done before an action is taken.	()	()
3. Follow-Through	Evidence that planning and actions are carried out to a successful conclusion.	()	()
4. Organization	Extent to which own work is well-organized as well as that of those supervised.	()	()
5. Initiative	Evidence of ability to originate and develop constructive ideas and actions.	()	()
6. Decision-Making	Degree to which decisions are sound, timely, and effectively carried out.	()	()
7. Communication	Extent to which both superiors, subordinates and staff are kept well-informed.	()	()
8. Ability to Motivate	Evidence of ability to inspire and challenge those whose performance is directed or supervised.	()	()
9. Ability to Develop	Extent of ability to promote development and growth of those directed or supervised.	()	()

District of Columbia Public Schools, Washington, D.C. and
Phoenix Union High School System, Phoenix, Arizona

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The administrative evaluation procedures and forms utilized in the District of Columbia Public Schools and the Phoenix Union High School System are almost identical except for variation in calendar schedule. Administrators in both systems are appraised in terms of performance objectives and over-all performance as rated by a checklist of "desirable" administrative activities and skills. Objectives are proposed by the administrator and adjusted or approved in conference with his immediate superior. The

administrator also identifies: (1) factors inhibiting the effective operation of the school and (2) assistance or corrective actions from the central office that would help alleviate the problems.

The District of Columbia's administrative evaluation instrument and its accompanying procedural description [98:8-19] are reproduced on pages 97 through 104. Following the instrument is the Phoenix Union evaluation schedule [2:2].

DISTRICT OF COLUMBIA PUBLIC SCHOOLS
PROCEDURES FOR PERFORMANCE EVALUATION OF ADMINISTRATORS
AND SUPERVISORS-SALARY CLASSES 2-14

I. ADMINISTRATOR EVALUATION PROCEDURE

A. EVALUATEES WORKSHEET FOR SUBMITTAL TO SUPERIORS:

Each administrator will submit a statement of goals and objectives for his area of responsibility between August 15 and September 30. In the case of newly appointed officers this statement will be submitted upon a mutually agreed date between the officer and his immediate supervisor but in no case later than 60 days after assuming the position to which he was appointed. These goals will be agreed upon by the administrator and his immediate supervisor. They will be listed in order of priority within the following categories:

1. Long Range - one year or more
2. Short Range - within one school year

B. CONFERENCE AGREEMENT:

Objectives and goals are subject to modification upon mutual agreement in writing between the parties concerned prior to September 30, or at the First Conference Report.

C. FIRST CONFERENCE REPORT:

The first appraisal session between the administrator and his immediate supervisor will be held no later than 60 days from the date of the agreement on the goals and objectives. This appraisal session will measure performance of the administrator in meeting his responsibilities as well as his progress toward attainment of the established goals and objectives - long and short range. At this time, the first *Administrator Performance Review* will be completed on the attached form.

- D. While continuing communication between the administrator and his supervisor is desirable, discretionary conferences shall be held upon written request by either party. The results of discretionary conferences will be summarized in writing and signed by both parties.
- E. A written summary of the results of each evaluation session or discretionary conference will be prepared by the supervisor and provided for the administrator. Any disagreements at the time of conference will be discussed and resolved with the resolution being stated in writing. In the event that disagreements cannot be resolved, the appraisal will be referred to the appeal process as outlined in this document. Copies of all written communication contributing to the evaluation of the administrator shall be entered into the administrator's personnel file by his supervisor.

F. END-OF-YEAR CONFERENCE REPORT:

The final evaluation session will involve the same procedures as the first appraisal session (see section C above) and will be conducted between May 1

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and June 30. For temporary and probationary officers the final evaluation will be conducted no later than 60 days prior to the anniversary date of his appointment.

II. ADMINISTRATIVE EVALUATION APPEAL PROCESS

Any disagreements on job performance which cannot be resolved in the evaluation session are to be referred to the appeal process. The procedure utilized by an administrator and his supervisor in endeavoring to obtain a satisfactory resolution of disagreements on job performance shall be as follows: Disagreements must be submitted in writing by each party to the supervisor's immediate superior. If the disagreement is not resolved at this first level within ten school days, the original appeal shall be referred in writing, together with the superior's report, to the next administrative level as follows: Assistant Principal to Principal; to Director; to Assistant Superintendent; to Deputy Superintendent; and to the Superintendent or his designee.

(Blank space has been omitted)

EVALUATEES WORKSHEET FOR SUBMITTAL TO SUPERIOR - Submitted Prior to September 30, or the agreed upon date in the case of temporary or probationary officers.

Administrator _____

Building or School _____ Date _____

1. Please list in order of priority and discuss the specific program, goals (short and long term), and objectives to which you and your staff will give major attention during the new school year, as well as future years. Please indicate the present status of each program, goal, and objective. Please attach additional sheets as needed.

(Blank space has been omitted)

EVALUATEES WORKSHEET FOR SUBMITTAL TO SUPERIOR

- II. Major Concerns: What factors have inhibited the attainment of the quality of operation desired in your department or school. List them below and describe each one briefly. (i.e., services available, personnel, program, pupils, plant, parents, community.)

(Blank space has been omitted)

How can the central office help remedy the situation?

(Blank space has been omitted)

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EVALUATEES WORKSHEET FOR SUBMITTAL TO SUPERIOR

- III. What trends do you see emerging in your school or in the district which may affect the role of your department or school in the future development of the District of Columbia Public Schools?

(Blank space has been omitted)

Signed _____

Date _____

Note: 1 copy to administrator
 1 copy to administrator's supervisor
 1 copy to assistant superintendent
 1 copy to personnel officer
 1 copy to personnel file

CONFERENCE AGREEMENT - (Submitted Prior to September 30, or the agreed upon date in the case of temporary or probationary officers)

Administrator _____

Building or School _____ Date _____

Supervisor _____ Title _____

- I. The following is a list of programs, goals, and objectives in priority to be considered for the _____ year in the evaluation process of the above administrator.

(Blank space has been omitted)

Administrator _____

Supervisor _____

Note: 1 copy to administrator
 1 copy to administrator's supervisor
 1 copy to assistant superintendent
 1 copy to personnel officer
 1 copy to personnel file

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DISTRICT OF COLUMBIA (Continued)

FIRST CONFERENCE REPORT - (Submitted at the completion of the first appraisal session)

Administrator _____

Building or School _____ Date _____

Supervisor _____ Title _____

The following is a report of the supplemental conference to discuss progress towards programs, goals, and objectives of the above administrator.

(Blank space has been omitted)

Administrator _____

Supervisor _____

Note: 1 copy to administrator
 1 copy to administrator's supervisor
 1 copy to assistant superintendent
 1 copy to personnel officer
 1 copy to personnel file

END OF YEAR CONFERENCE REPORT - (Submitted Prior to June 30. For temporary and probationary officers this report must be submitted 60 days prior to the anniversary date of his appointment)

Administrator _____

Building or School _____ Date _____

Supervisor _____ Title _____

The following is a report of the conference to consider realization of goals, programs, and objectives of the above administrator. Recommendation made concerning special recognition, retention, probation, or termination.

(Blank space has been omitted)

Administrator _____

Supervisor _____

Note: 1 copy to administrator
 1 copy to administrator's supervisor
 1 copy to assistant superintendent
 1 copy to personnel officer
 1 copy to personnel file

Confidential☐ First Evaluation☐ Final EvaluationADMINISTRATOR PERFORMANCE REVIEW
DISTRICT OF COLUMBIA PUBLIC SCHOOLS

Administrator _____ Supervisor _____

Administrator Title _____ Supervisor Title _____

Building or School _____ Date _____

Date of Appointment _____

Unsat- isfactory	Needs Improvement	Acceptable	Good	Out- standing	Not Rated
---------------------	----------------------	------------	------	------------------	--------------

A. EDUCATIONAL LEADERSHIP

1. Curriculum and/or program planning.
2. Curriculum and/or program development.
3. Curriculum and/or program implementation.
4. Curriculum and/or program evaluation.
5. Encourages in-service education and staff professional growth.

1.					
2.					
3.					
4.					
5.					

B. COMMUNICATION ABILITY

1. Public relations.
2. Identifies subordinates' problems and provides assistance.
3. Utilizes community resources.
4. Staff morale.
5. Utilizes all lines of communication.
6. Respects confidences.

1.					
2.					
3.					
4.					
5.					
6.					

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DISTRICT OF COLUMBIA (Continued)

Page 2

ADMINISTRATOR PERFORMANCE REVIEW

	Unsatisfactory	Needs Improvement	Acceptable	Good	Outstanding	Not Rated
C. MANAGEMENT ABILITY						
1. Establishes appropriate objectives.						
2. Develops and implements rules and procedures.						
3. Makes appropriate decisions.						
4. Is impartial, fair, and firm in decisions.						
5. Recognizes alternative solutions to problems.						
6. Budget preparation.						
7. Budget management.						
8. Carries out instructions without distortion and misinterpretation.						
9. Adheres to all policies of the Board of Education/ and to the executive decisions of the Superintendent.						
10. Handles emergencies responsibly.						
11. Evaluates staff appropriately.						
12. Recognizes and makes use of staff leadership abilities.						
13. Accepts responsibility for his own and subordinates' actions.						
14. Makes proper personnel assignments.						

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Page 3

ADMINISTRATOR PERFORMANCE REVIEW

Unsatisfactory	Needs Improvement	Acceptable	Good	Outstanding	Not Rated
----------------	-------------------	------------	------	-------------	-----------

C. MANAGEMENT ABILITY - continued

15. Delegates responsibility.
16. Support of staff.
17. Appropriate utilization of time and responsibility.
18. Physical conditions of building and/or office.
19. Plans and utilizes existing space.

15.					
16.					
17.					
18.					
19.					

D. PROFESSIONAL GROWTH AND SELF-IMPROVEMENT

1. Up-to-date on educational and administrative matters.
2. Avails himself of the opportunity for improvement by attending workshops, graduate school, professional meetings, and conferences.
3. Considers innovation.
4. Seeks assistance when necessary.
5. Accepts constructive criticism.

1.					
2.					
3.					
4.					
5.					

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Page 4

ADMINISTRATOR PERFORMANCE REVIEW

In Summary:

Strengths of Administrator:

Areas Needing Improvement:

Program Suggestions for Improvement:

FINAL SUMMARY OF ADMINISTRATOR'S PERFORMANCE

Unsatisfactory	Needs Improvement	Acceptable	Good	Outstanding*

Administrator _____

Supervisor _____

The signature of the administrator indicates he has read the evaluation.

Evaluatee Comments:

* If giving an overall appraisal of outstanding, submit a written narrative in support of the rating.

PHOENIX UNION HIGH SCHOOL SYSTEM
ADMINISTRATOR EVALUATION SCHEDULE

PART I

PART II

TIME

GOALS/OBJECTIVES

PERFORMANCE
(CHECKLIST)

No later than
October 15th

Formulate Goals/
Objectives
(Administrator and
Evaluator)

No later than
January 15th

Review Progress
in reaching Goals/
Objectives
(Administrator and
Evaluator)

Evaluate the
Administrator's Per-
formance by using the
Checklist and communi-
cate some to
Administrator
(Evaluator)

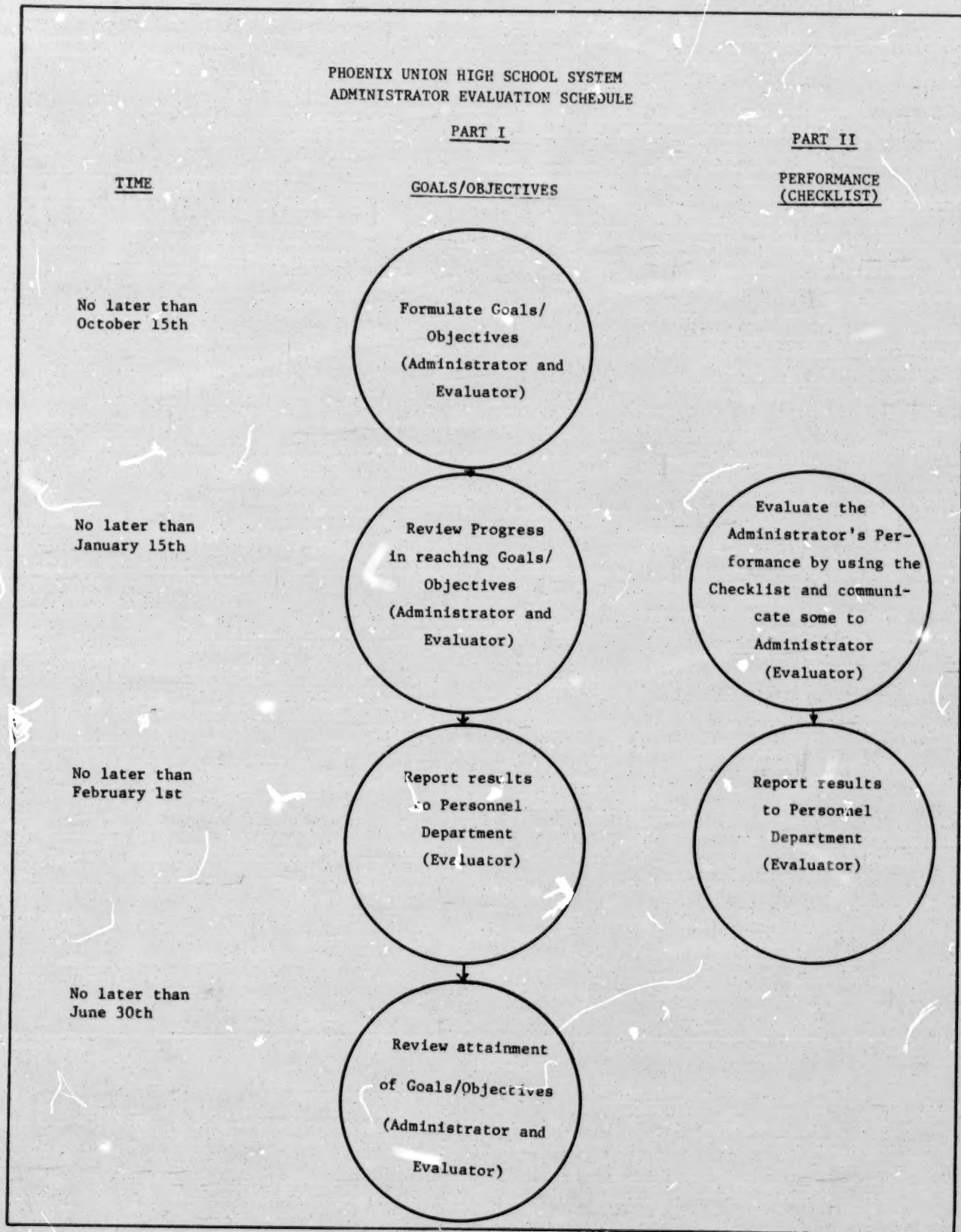
No later than
February 1st

Report results
to Personnel
Department
(Evaluator)

Report results
to Personnel
Department
(Evaluator)

No later than
June 30th

Review attainment
of Goals/Objectives
(Administrator and
Evaluator)



Oakley Union School District
Oakley, California

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Oakley Union School District administrators are appraised in terms of their job description and responsibilities (partially determined by district goals), their individual goals and/or objectives, and specific elements of program improvement/student progress.

The evaluation process is conducted either by: (1) the "prime evaluator" [35:23], who is the administrator's immediate superior, or (2) an evaluation team based upon mutual agreement. "Whether the evaluation is conducted by the prime evaluator or an evaluation team, the final written evaluation summary must bear the signature of the prime evaluator. If an evaluation team is used, the final written evaluation summary also must bear the signatures of team members" [35:23].

An initial conference between the prime evaluator and the evaluatee is held prior to mid-October. During that conference, agreement is reached and recorded on the following items:

1. District/school goals and/or objectives as written with mutually agreed upon exceptions, additions, and other changes;
2. Individual goals and/or objectives;
3. Evaluation procedures that will be used as agreed upon and explicitly stated;
4. Duties and responsibilities of evaluatee which will be evaluated;
5. Areas in which assessment of program improvement/student progress will take place; and
6. Techniques to be used in assessment of program improvement/student progress. [35:24]

The evaluatee and the prime evaluator both sign this agreement and keep a copy. The agreement may be revised during the course of the

In formulating this agreement, several factors are to be considered:

The number of other certificated personnel, students, parents, and other citizens with whom contact is required by the job along with the amount of time required for such contacts.

The adequacy of assistance available (and which may be provided) to the evaluatee when there is an indication of need for that assistance.

The relative potential of students enrolled in the program(s) or receiving the service(s) provided by the evaluatee.

The degree of program/services cooperation and support given by certificated teaching personnel who provide instruction/service, and by other certificated non-teaching personnel who work with the evaluatee in a supervisory or peer relationship. [35:23-24]

Each administrator is evaluated at mid-year and at the end of the year. In these appraisals, three of the following types of evaluative data must be utilized--(1), (2), and either (3) or (4), determined by mutual agreement of the administrator and prime evaluator:

1. Self-evaluation (Required);
2. Specific means of assessment of program improvement/student progress to be agreed upon (Required);
3. Participation of school faculties as indicated below:
 - a. Written responses of teachers knowledgeable of the services performed by the evaluatee, and
 - b. Written responses of district-level non-teaching certificated personnel who have direct knowledge of services provided by the evaluatee;

4. Assessment by administrator-requested, evaluator-requested, or faculty-requested evaluation team consisting of the following members:

- a. The evaluatee's prime evaluator

direct or indirect supervisory relationship to the evaluatee to act as chairman,

- b. A peer colleague of the evaluatee, mutually agreed upon by the evaluatee and his prime evaluator,
- c. Two or more mutually agreed upon teachers for evaluator-requested or evaluatee-requested evaluation teams,
- d. Two or more teachers elected by the faculty for faculty-requested evaluation teams, and
- e. Additional members mutually agreed upon by the above team members and the evaluatee. [35:24]

When an evaluation team is utilized, written appraisals by the total faculty must be incorporated in the evaluation. The Preliminary and/or Final Conference(s) may be attended by the evaluation team upon invitation by either the evaluatee or the evaluator.

Other sources of evaluative data may be used in addition to the three required sources. These optional sources include observations of colleague relationships, written responses of randomly-sampled students, parents, and other lay persons knowledgeable of the evaluatee's services, and interviews/written responses of other school and district administrators.

Around mid-year, the preliminary evaluation conference is scheduled. The administrator completes an interim "Evaluatee's Self-Evaluation" (see page 110) and discusses in conference with the prime evaluator (and evaluation team if requested) the progress he is making toward his established goals and/or objectives. The prime evaluator completes the "Preliminary Evaluation Summary" (reproduced on page 111).

The final evaluation is conducted at least 60 days prior to the end of the school year. The procedure follows these steps:

1. The prime evaluator is provided the agreed-upon data at least one week prior to the final conference.
2. The evaluatee presents a written

self-evaluation ("Evaluatee's Self-Evaluation") during the final conference with his prime evaluator (and the evaluation team if requested).

3. The evaluator presents, in working draft form, and evaluation of the administrator's accomplishment of goals/objectives along with qualifying statements. Such opinions must be based on evaluation methods used and evaluative data collected.
4. In the final conference, the prime evaluator and evaluatee will exchange these written informal evaluations and discuss areas of agreement and disagreement. The self-evaluation statement will be returned to the evaluatee at the end of the conference. The prime evaluator may or may not elect to give the evaluatee a copy of his working draft evaluation. If the evaluation was conducted by a team, the team may be present at the final conference if invited by either the evaluatee or prime evaluator. In any case, the team members must sign the "Final Evaluation Summary."
5. After the final conference, the prime evaluator will write the "Final Evaluation Summary," on which there is also space for the evaluatee to make comments or to state disagreement with the evaluation. The prime evaluator and the administrator will meet together briefly to sign the "Final Evaluation Summary." The evaluatee's signature does not imply agreement. It only indicates that he has read the evaluation and understands that he has the opportunity to respond in writing. [35:26]

All forms related to the initial, preliminary, and final evaluation conferences follow.

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Page one of two pages

DISTRICT GUIDELINES FOR EVALUATION OF CERTIFICATED NON-TEACHING PERSONNEL
IN RELATION TO PROGRAMINITIAL CONFERENCE FORM
(To be Completed by October 15)Program/Individual Goals and/or Objectives*
(Agreed upon by Evaluatee and Prime Evaluator)

Date _____

Evaluatee's Name _____

Position _____

No. of years in Position _____

No. of years in District _____

- I. MODIFICATION, ACCEPTANCE (cross out one) of job description/responsibilities and district program goals, and/or objectives. (Modifications must be described.)
- II. ADDITIONAL INDIVIDUAL GOALS AND/OR OBJECTIVES (optional: to include professional development activities if appropriate.)
- III. Agreed-upon specific elements of Program improvement/student progress (based upon subject area statement(s) of Standards of Expected Student Progress and Techniques of Assessment of Progress).

* May be modified by mutual agreement during the course of the year.

Page two of two pages

DISTRICT GUIDELINES FOR EVALUATION OF CERTIFICATED NON-TEACHING PERSONNEL
IN RELATION TO PROGRAMInitial Conference Form (Cont'd)

- IV. EVALUATIVE TECHNIQUES TO BE USED (Check those to be used)
(These may be modified by mutual agreement during the course of the year.)

	Please Check	Notes/Comments
1. <u>Self-Evaluation (required)</u>		
2. <u>Specific means of Assessment of Program Improvement/Student Progress. (required) (Specify)</u>		
a. _____		
b. _____		
c. _____		
3. <u>Specific means of Evaluating Program Management/Preservation of Learning Environment. (required) (Specify)</u>		
a. _____		
b. _____		
c. _____		
4. <u>Interviews and/or Written Survey Questionnaires.</u>		
a. <u>Teachers (required)</u>		
b. <u>Other Certificated Personnel</u>		
c. <u>Students</u>		
d. <u>Parents</u>		
e. <u>Other (specify)</u>		
5. <u>Observation of student and/or teacher activities in relation to program.</u>		
6. <u>Observation of colleague relationships.</u>		
7. <u>Evaluation Team</u>		
8. <u>Other (specify)</u>		

Signatures:

Evaluatee_____
Prime Evaluator_____
Date

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DISTRICT GUIDELINES FOR EVALUATION OF CERTIFICATED NON-TEACHING PERSONNEL
IN RELATION TO PROGRAMEVALUATEE'S SELF-EVALUATION

(To be completed by the evaluatee prior to the preliminary and final conferences)

- I. Make a statement concerning the extent to which your goals and/or objectives are being attained.
- II. Support your statement with examples where applicable (specify outcomes or results; i.e., those indicated as anticipated in the Goals and/or Objectives Agreement.)
- III. Suggestions for further attainment of goals and/or objectives.
- IV. State your assessment of program improvement/student progress in areas agreed upon in Initial Conference Form. Corroborate your statement with appropriate data.

A copy of this form is to be completed by the evaluatee prior to both the Preliminary and Final Evaluation Conferences. It is to be brought to each conference, discussed, and returned to the evaluatee after final conference.

Page one of two pages

DISTRICT GUIDELINES FOR EVALUATION OF CERTIFICATED NON-TEACHING PERSONNEL
IN RELATION TO PROGRAMPRELIMINARY EVALUATION SUMMARY

To be completed by March 1 for evaluatees with permanent status; by December 15 for other evaluatees. Distribution: 1 copy for prime evaluator, 1 for the evaluatee, and 1 for Personnel Office.

Evaluatee _____ Prime Evaluator _____
Position _____ Position _____
No. of years in this position _____ Date _____
No. of years in District _____ Evaluation period: From _____ To _____

- I. Evaluation based on stated and agreed-upon goals and/or objectives for the year.
- II. Evaluation of performance in instructional and related areas: program improvement/
student progress.
- III. Evaluation of performance in program management and preservation of learning environment. (as stated on Initial Conference Form)
- IV. Evaluation of performance in relation to District job description. (as stated on
Initial Conference Form)
- V. Evaluation of performance in additional assigned responsibilities adjunct to regular
assignment. (as stated on Initial Conference Form)

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Page two of two pages

DISTRICT GUIDELINES FOR EVALUATION OF CERTIFICATED NON-TEACHING PERSONNEL
IN RELATION TO PROGRAMPreliminary Evaluation Summary (Cont'd)

Evaluatee _____ Prime Evaluator _____

Position _____ Position _____

No. of years in this position _____ Date _____

No. of years in District _____ Evaluation period: From _____ To _____

VI. Suggestions and means to help the evaluatee further achieve Goals and/or Objectives and/or to improve in areas evaluated above.

VII. Evaluatee's Comments:

Signature of Prime Evaluator: _____

Signatures of Team (secondary evaluators): _____
(If a team is used)

Date _____ Signature of Evaluatee: _____

The evaluatee's signature does not indicate evaluatee's agreement with the written evaluation, but indicates that he has read it and understands that he has the opportunity of responding in writing. If the evaluatee submits a written response, it shall become a permanent part of all copies of the evaluation report.

Page one of three pages

DISTRICT GUIDELINES FOR EVALUATION OF CERTIFICATED NON-TEACHING PERSONNEL
IN RELATION TO PROGRAMFINAL EVALUATION SUMMARY

To be in the Personnel Office 60 days prior to the end of the school work year. Distribution: 1 copy for principal, 1 for evaluatee, 1 for Personnel Office.

Evaluatee _____ Prime Evaluator _____

Position _____ Position _____

No. of years in this position _____ Date _____

No. of years in District _____ Evaluation period: From _____ To _____

- I. Evaluation based on stated and agreed-upon goals and/or objectives for the year.
- II. Evaluation based on performance in instructional and related areas: program improvement/student progress.
- III. Evaluation of performance in program management and preservation of learning environment. (as stated on Initial Conference Form)
- IV. Evaluation of performance in relation to District Job Description. (as stated on Initial Conference Form)

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Page two of three pages

DISTRICT GUIDELINES FOR EVALUATION OF CERTIFICATED NON-TEACHING PERSONNEL
IN RELATION TO PROGRAMFinal Evaluation Summary (Cont'd)

Evaluatee _____ Prime Evaluator _____
Position _____ Position _____
No. of years in this position _____ Date _____
No. of years in District _____ Evaluation period: From _____ To _____

V. Evaluation of performance in additional assigned responsibilities adjunct to regular assignment. (as mutually agreed upon by evaluator and evaluatee)

VI. Future Goals and/or Objectives. (as mutually agreed upon by evaluator and evaluatee)

VII. Prime evaluator's proposals to help the evaluatee further achieve goals and/or objectives and/or to improve in areas evaluated above. (as mutually agreed upon by evaluator and evaluatee)

VIII. Evaluatee's Comments:

Page three of three pages

DISTRICT GUIDELINES FOR EVALUATION OF CERTIFICATED NON-TEACHING PERSONNEL
IN RELATION TO PROGRAMFinal Evaluation Summary (Cont'd)

Evaluatee _____ Prime Evaluator _____

IX. Statement of sources for evaluative information:

The method(s) used for involvement of other knowledgeable persons in this evaluation was (were) the following: (Please check)

- _____ written response of teachers
- _____ written response of non-teaching certificated personnel
- _____ written response of parents and lay persons
- _____ written response of students
- _____ written response of peers
- _____ interviews with school, community and district administrators, teachers, and non-teaching personnel (please circle those that apply)
- _____ observation of student/teacher contacts
- _____ evaluation team
- _____ other
- _____ please specify _____

The total number of other knowledgeable persons involved in this evaluation was _____.

Signature of Prime Evaluator: _____

Signatures of Team (secondary evaluators): _____
(If a team is used)

Date _____

Signature of Evaluatee: _____

The evaluatee's signature does not indicate evaluatee's agreement with the written evaluation, but indicates that he has read it and understands that he has the opportunity of responding in writing. If the evaluatee submits a written response, it shall become a permanent part of all copies of the evaluation report.

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Wellesley Public Schools
Wellesley, Massachusetts

The Wellesley Public Schools have developed a merit pay system for administrators based upon the evaluation of administrative performance. Success in realizing goals and performance in general areas of responsibility are evaluated.

In the first step of the evaluation process, administrative position descriptions are prepared (Wellesley's were prepared by outside consultants) that focus on the dimensions of the position, objectives, horizontal and vertical coordination, and principal accountabilities. At least three formal conferences are scheduled between the administrator and his immediate superior. Each conference is followed by a mutually agreed upon report, written by the superior, and forwarded to the Superintendent:

1. The first conference occurs on or before October 15 for the purpose of articulating goals and for any other purpose mutually agreed upon.

2. The second conference occurs on or before January 15 so that the evaluator may give the administrator a preliminary evaluation or performance report.

3. The third conference is scheduled on or before May 15 for the final evaluation. The evaluator will provide his evaluatees, at least two days prior to the final evaluation conference, all his intended recommendations for increases stated in percentages. Only those factors identified on the grid (see page 117) may be considered.

On or before June 1, each administrator is notified in writing regarding the Superintendent's salary recommendation, which will be presented to the school committee. His decision, or any part of the evaluation process may be the subject of a grievance but not arbitration.

WELLESLEY PUBLIC SCHOOLS

Unit B Personnel

Grid for Indicators of Performance

	Outstanding	Superior	Above Average	Average	Below Average
<u>LEADERSHIP</u> planning, follow-through, initiative, organizational skills are clearly evident.	Effective planned change is constantly observable. Develops plans and strategies independently. Organizational skills are clearly evident.	Planning prior to decision making, follow-up and superior organizational skills are observable. Decision making process is clearly understood by all concerned.	Can be counted on to develop plans and strategies with some direction. Some organizational skills are understood and articulated.	Adequate organizational skills are demonstrated. Effectively meets day to day objectives.	
<u>KNOWLEDGE</u>	Often acts as a resource person. Displays thorough knowledge of field. Introduces, innovates & implements changes & trends.	Thorough knowledge of field and performs accordingly.	Maintains current knowledge of latest developments.	Good understanding of field.	
<u>COMMUNICATION</u>	The communication process is thoroughly understood as seen in the great degree of involvement. Democratic processes are adhered to.	Two-way communication process is practiced with staff/students/parents.	All parties concerned are well-informed.	Organizational and/or departmental objectives are understood.	
<u>HUMAN RELATIONS</u>	Collaborates with staff, achieves & maintains high morale. Stimulates effective interaction.	Staff works with purpose & commitment. Interaction evident.	Staff seems to work in harmony.	Staff shows fair amount of commitment.	
<u>GOALS</u>	Is successfully realizing all short range goals. Long range goals are progressing well.	Most short range goals completed. Long range goals progressing well.	Short range goals in various stages of completion. Long range goals identified.	Short range goals in various stages of completion.	
<u>JOB DESCRIPTION</u>	Excels in all phases of job description.	Performs beyond job description parameters.	Performs well according to the job description.	Strives to meet job description.	

BIBLIOGRAPHY

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The following bibliography is based on a search of published and unpublished literature related to the appraisal of administrative and supervisory personnel in education. Although not all entries are cited in the text of this *ERS Report*, all are regarded as relevant documents.

To expedite the ordering of desired materials, addresses and prices are given where possible. Documents for which ERIC document (ED) numbers are given can be ordered from the Computer Microfilm International Corporation, P. O. Box 190, Arlington, Virginia 22210. Microfiche are priced as follows: 1-479 pages, 75¢; 480-575 pages, 90¢; 576-671 pages, \$1.05 (+ 15¢ for each additional 96-page increment or fraction thereof). Hardcopy printouts are priced at \$1.50 for 1-25 pages; \$1.85 for 26-50 pages; \$3.15 for 51-75 pages; \$4.20 for 76-100 pages; \$5.40 for 101-125 pages; and \$6.60 for 126-150 pages (+ \$1.20 for each additional 25-page increment or fraction thereof). All orders must be accompanied by postage. The book rate is 18¢ for the first pound (60 microfiche or 100 hardcopy pages) plus 8¢ for each additional pound or fraction thereof.

1. "Administrator Appraisal." Lincoln, Nebraska: Lincoln Public Schools, n.d. 15 pp.
2. "Administrator Performance Review." Phoenix, Arizona: Phoenix Union High School System, n.d. 15 pp.
3. Andersen, Hans O. "Supervisor as a Facilitator of Self-Evaluation," *School Science and Mathematics*, 72 (October 1972), pp. 603-616.
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5. Andrews, Richard L. "The Washington Principal Evaluation Inventory: Preliminary Manual." Seattle, Washington: Bureau of School Service and Research, University of Washington, 1970. 16 pp. (ED 050 458)
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